

**PRINCIPAL LEADERSHIP ATTRIBUTES: IMPLICATIONS OF BELIEFS AND
PRACTICES THAT IMPACT ACADEMIC SUCCESS FOR ENGLISH LANGUAGE
LEARNERS ON STATE ACCOUNTABILITY MEASURES**

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ABSTRACT

Since the passage of the No Child Left Behind Act (NCLB) in 2001, the most recent version of the Elementary and Secondary Education Act (1965), the role of the school principal has been expanded to include significant responsibilities for the instructional leadership of schools, ensuring that all children achieve to meet high standards, and that the needs of children with special learning challenges are met. At the core of the No Child Left Behind Act (2001) are a number of measures designed to drive broad gains in student achievement and to hold states and schools more accountable for student progress. Principals are expected to respond to accountability measures imposed by external constituents by acting as agents of change.

Since the passage of the Act, standardized tests and assessment-based reforms have been widely implemented in the public school system in the United States. The intent of these reforms is to academically challenge all students to meet high standards, including English Language Learners (ELLs), and to ensure that attention and resources are given to these students to help them achieve their full potential.

NCLB requires school districts to annually report the standardized test scores of student subgroups, including the ELLs. They are required by the law to meet targets set by their states for “adequate yearly progress,” or AYP, or face sanctions. NCLB regulations stipulate that ELLs must be tested in mathematics beginning with the first round of state exams after the students enter a United States school, and in reading after they have been in a U.S. school for at least one year. This poses a tremendous challenge for teachers and for school principals, whose schools are publicly identified in the accountability system in New York State as meeting or failing to meet the target based on student achievement on these assessments.

This quantitative study identified the attributes (beliefs and practices) of principals in New York State schools outside of New York City that contribute to ELLs' success as measured by their performance on state tests. The following areas were examined: visionary leadership, cultural and instructional leadership, school management and parent and community relations. Statistically significant results were found in ten areas of principal leadership in three of the five areas that were examined.

In the area of cultural leadership, practicing shared leadership, creating a school climate that values diversity, professionally developing both ELL teachers and other staff working with ELLs on best practices, creating a climate of accountability for ELLs, and establishing and monitoring goals for ELL success emerged from the data as statistically significant. In the area of instructional leadership, collecting data on the ELLs early and visiting classrooms regularly to provide teachers substantial feedback on their instructional practices also emerged as statistically significant. Lastly, in the area of school management, taking a key role in the improvement of teaching and learning for ELLs, recruiting and retaining qualified and invested teaching staff, and acquiring resources to support ELL teaching were areas of principal leadership that surfaced as significant findings.

The survey results gleaned from respondents provide direction to the field in ELL education and identify the specific areas of focus for school leaders in the development of a quality program that will yield desired results for this growing population of students in our schools.

Key words: adequate yearly progress, cultural proficiency, English language learners, linguistically and culturally diverse, No Child Left Behind, professional learning communities, school accountability

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CHAPTER I

INTRODUCTION

Background and Rationale for the Study

On November 14, 2011, the New York State Board of Regents' P-12 Education Committee discussed an item entitled *Raising Academic Achievement of ELLs*, a seminally important topic that targets achievement goals for the state's English Language Learner population. English Language Learners (ELLs) are defined as students whose first language is not English and who are in the process of learning English. It has replaced the term limited English proficient (LEP) by the U.S. Department of Education, as "ELLs is a term that highlights what students are accomplishing, rather than focusing on their temporary deficits" (Lacelle-Peterson & Rivera, 1994, p. 56). According to the National Council on Staff Development (2001), other terms used to refer to this group of students are Second Language Learners (SLL), English Learners (EL), Language Enriched Pupils (LEP), Potential English Proficient (POP), ESOL (English for Speakers of Other Languages) and culturally and linguistically diverse (CLD) students. ELLs are a heterogeneous group with differences in ethnic background, first language, socioeconomic status, quality of prior schooling, and levels of English language proficiency (Smiley & Salsberry, 2007). Effectively educating these students requires diagnosing each student instructionally, adjusting instruction accordingly, and closely monitoring student progress.

The No Child Left Behind (NCLB) definition of an English Language Learner is an individual ages 3-21, who is enrolled (or about to enroll) in a U.S. elementary or secondary school and meets these two requirements:

Belongs to one of the following categories:

- Was not born in the United States or speaks a native language other than English;
- Is a Native American, Alaska Native, or native resident of outlying areas and comes from an environment where language other than English has had a significant impact in the individual's level of English language proficient; or
- Is migratory, speaks a native language other than English, and comes from an environment where language other than English is dominant.

May be unable, because of difficulties in speaking, reading, writing, or understanding the English language, to:

- Score at the proficient level on state assessments of academic achievement;
- Learn successfully in classrooms that have language of instruction in English; or
- Participate fully in society. (U.S. Department of Education, 2002)

ELLs are an important focus of the 2011 Regents' Reform Agenda, whose central theme is closing the achievement gap to prepare all students to meet college and career ready standards. The Agenda entails a three-pronged approach to improving education involving the extensive use of data- driven instruction (DDI), the implementation of new teacher and principal annual professional performance review (APPR) evaluation models, and the adoption, alignment, and implementation of the Common Core Learning Standards (CCLS), by the 2012-2013 school year (New York State Education Department, 2012).

The Regents have implemented policies and directed department staff to provide resources to help ELLs become proficient in English and succeed in school. The established policies and goals adopted by the Board of Regents in 1989 regarding the education of ELLs are still the New York State Education Department's goals today:

- all students in New York State become proficient in English, and to the extent possible, in another language, and that all students understand and respect their own and other cultures;
- educational access, equity and excellence be promoted for language minority and limited English proficient students so that they become proficient in English and remain proficient in their first language;
- programs for language minority and limited English proficient students be staffed by qualified professionals;
- parents and guardians of language minority and limited English proficient students be actively encouraged to participate in their children's education; and
- needs of language minority and limited English proficient students be considered in the development of all State Education Department initiatives, and that appropriate measures be taken to address these needs (New York State Education Department, 1990).

What has been missing in these goals is accountability for student achievement as measured by standardized accountability measures and the articulation that principal leadership can affect school success for the English Language Learners.

No Child Left Behind (2001) issued to all states and all schools a challenge. To help ensure that limited English proficient students master English and meet the same rigorous standards for academic achievement as all students are expected to meet, including meeting challenging state academic content standards, states were instructed to improve academic achievement by (1) promoting systemic improvement and reform of, and developing accountability systems for, educational programs serving limited English proficient children; (2) developing the English proficiency of limited English proficient children and, to the extent

possible, the native language skills of such children; and (3) developing programs that strengthen and improve the professional training of educational personnel who work with limited English proficient children (No Child Left Behind Act, SEC. 3202, 2001) .

A key feature of the No Child Left Behind Act (NCLB) is ensuring adequate yearly progress (AYP) for all students. Schools and districts must meet state-determined AYP criteria for academic progress for all students as well as subgroups of students by ethnicity, English proficiency, income level, and special education. This places a new focus and accountability on the levels of achievement for English Language Learners (ELLs). So that every child counts, NCLB requires states to include the academic achievement results of all students, including LEP students, in AYP calculations (U.S. Department of Education, 2004). While standards and assessments are two essential components in a standards-based reform system, the results are not complete without an accountability framework to ensure that states and schools are making satisfactory progress. This framework is supplied by AYP.

NCLB outlines the process that individual states must follow to develop systems that measure the progress of all students. This process includes: setting challenging academic standards, developing annual state-level assessments that address the states' learning standards, setting an initial starting point, specifying successive targets for AYP, and providing increased support to schools that consistently do not meet AYP (Haycock & Wiener, 2003). A state may not use disaggregated data to report achievement on state or local report cards in the ELL (or any other of the five) subgroup categories if the number of students in a school is insufficient to yield "statistically reliable" information. Schools with a subgroup population count of 30 or more students are required to publicly report their disaggregated student progress. (The New Title I: The Changing Landscape of Accountability, 2009, p. 33)

NCLB expanded the federal role in education and has significantly impacted schools and school leader responsibilities. The era of reform ushered in by this legislation requires that administrators make connections between academic data and excellence as they employ strategic thinking and innovations in developing partnerships with a variety of constituent groups. It is no longer sufficient to deplore the achievement gap; school leaders must be able to make decisions to improve teaching and learning for all students or face corrective action if their schools fail to meet mandated accountability measures (National Association of Secondary School Principals, 2007).

New York State test data have indicated that English Language Learners' performance on state accountability measures for the past five years continues to lag behind their English proficient peers. The term English Language Proficient (ELP) includes any group of students who are native English speakers. The gaps between ELLs and ELPs are greatest in English Language Arts (ELA), although gaps also exist in mathematics performance, and in both ELA and mathematics the gap tends to grow between grades three and eight.

In 2010, for example, where 58% of ELPs scored at levels 3 or 4 on the 3rd grade ELA exam, only 24% of ELLs scored levels 3 or 4. Similarly, where 54% of ELPs scored at levels 3 or 4 on the 8th grade ELA exam, only 4% of ELLs scored at levels 3 or 4.

In 2010, 62% of ELPs scored at levels 3 or 4 on the 3rd grade mathematics exam, whereas only 36% of ELLs scored at levels 3 and 4. In 8th Grade, 57% of ELPs scored at levels 3 and 4 on the 2010 mathematics exam, while only 24% of ELLs scored at levels 3 or 4.

These issues make this research study current and timely. The study focused on the implications of the beliefs and practices that principals espouse and implement that can impact students' abilities to meet, and in some cases, exceed the standards as measured by state

performance assessments. These beliefs and practices are concurrently the tenets of the Annual Professional Performance Review (APPR) for school leaders, and will focus principals to assume the primary role of instructional leader as well as building manager. According to a report released in 2011 from the Wallace Foundation entitled, *The School Principal as Leader: Guiding the Schools to Better Teaching and Learning*, this shift brings with it dramatic changes in what public education needs from principals. They can no longer function simply as building managers, tasked with adhering to district rules, carrying out regulations and avoiding mistakes. They have to be (or become) leaders of learning who can develop a team delivering effective instruction (p. 6).

One positive outcome of the NCLB legislation is that ELL student achievement is included specifically in the law, and educational leaders are focusing their efforts on meeting the needs of students who are learning English as a second language. Accountability for this subgroup of students must remain in the forefront of the school principals' vision for their schools; they need to make success for ELLs a central issue in the communities they lead and serve.

As the U.S. population grows more diverse, public schools are faced with the challenge of meeting the needs of an increasing population of culturally and linguistically diverse students. Schools in the United States are often the first point of contact for new immigrant students as they work to facilitate their integration and socialization into American society. Aiding these immigrants in learning English has become one of the primary focuses of schools and is a major challenge for principals.

Smiley and Salsberry, authors of *Effective Schooling for English Language Learners: What Elementary Principals Should Know and Do* (2009), report that there are over five million English Language Learners enrolled in prekindergarten – grade 12 in U.S. public schools, with

nearly 70% of ELLs enrolled at the elementary level (Kindler, 2002; National Clearinghouse on English Language Acquisition, 2005). Additionally, from the 1997-98 school year to the 2008-09 school year, the number of English Language Learners enrolled in public schools increased from 3.5 million to 5.3 million, or by 51% (National Clearinghouse for English Language Acquisition, 2011). During the same period, the general population of students grew by 7.2%, to 49.5 million. These burgeoning numbers of English Language Learners pose unique challenges for educators striving to ensure that such students get access to the core curriculum in schools and acquire academic knowledge, as well as English language and literacy skills to demonstrate proficiency when tested.

With the increasing number of ELLs consistently enrolling in schools, the demographic make-up of U.S. classrooms is changing. The majority of ELLs were born in the United States as reported by the NCELA (National Clearinghouse for English Language Acquisition & Language Instruction Educational Programs, 2010).

Most of these students with limited English proficiency are not immigrants or recent arrivals. More than three fourths of the ELL elementary students are native-born. Nearly 8 out of 10 ELLs speak Spanish, but some districts have students who represent more than 100 different language groups. More than 60 percent of English Language Learners reside in six states: Arizona, California, Texas, New York, Florida and Illinois. (p. 3)

With an annual growth rate of ten percent, English Language Learners comprise the fastest growing demographic group in the nation's schools. Currently, one in nine students in our classrooms is defined as an English Language Learner. By 2025, that number will approach one in four students (Center for Immigration Studies, 2002). As the number of ELLs increases,

school districts face a growing challenge to help ELLs both improve proficiency and meet the same high standards for academic achievement expected of all students. The backgrounds of immigrant ELL students vary widely, as does their formal education in their first language, which can challenge their ability to flourish academically in U.S. schools.

There were 227,333 ELLs enrolled in public schools in New York State public schools in 2010, 68,559 of whom were educated in public schools outside of New York City. This demographic is referred to by the State Education Department as ROS (Rest of State) – and is the focus population of this study.

According to 2009-10 New York State Education Department data, these ELL students speak nearly 200 different languages in New York State. The majority of ELLs speak Spanish, followed by Chinese, Arabic, Bengali and Haitian Creole. The other five languages that make up the top 10 are Urdu, Russian, French, Korean and Karen. The language breakdown of ELLs has remained fairly stable over the past decade, with Spanish and Chinese representing the main language groups; however there have been some demographic shifts with Arabic and Bengali replacing Russian and Urdu as the top third and fourth languages respectively. Some communities, however, have seen large influxes of refugee populations and thus the predominate language groups can differ by district (New York State Education Department, 2011).

In today's climate of standards-based reform, assessments are commonly used to measure student achievement. For a student population that is increasingly linguistically and culturally diverse, educational accountability of the ELLs is especially challenging for school principals. Achievement data suggest that English Language Learners lag far behind their peers; nationwide, only twelve percent of students with limited English scored "at or above proficient" on the 4th grade NAEP (2009) in mathematics; five percent of the ELLs in 8th grade scored at these levels.

On the NAEP (2009) reading test, the percentages of ELLs who reached proficient was lower than for the math test in both 4th and 8th grades; only three percent of ELLs met that standard in 8th grade reading (National Center for Educational Statistics, 2010).

In *Education Week*, Zehr (2010) reports that, “Not many states have met the law’s [NCLB] AYP goals for ELLs. During the 2007-08 school year, only eleven states made their accountability goals for ELLs according to an analysis of federal data by the Washington-based American Institutes for Research” (p. 19). U.S. Secretary of Education Margaret Spellings was quoted in the same article:

Our schools must be prepared to measure what English Language Learners know and to teach them effectively, with proven instructional methods. No Child Left Behind has put the needs of English Language Learners front and center and we must continue that momentum of success. These regulations will ensure states and schools are held accountable for helping children learn English but will also provide them with flexibility in meeting the goal of every child reading and doing math at grade level by 2014. (p. 20)

The role of the school leader at schools with an ELL population is to understand the characteristics of effective curriculum, to recognize effective instructional strategies, to build structures to support teachers to become highly skilled at providing instruction, and to ensure that the materials, resources, and conditions are readily available for delivering high-level instruction to ELLs (Olsen & Romero, 2006b). In this era of accountability, with the focus on student achievement results, there is a parallel accountability for school principals nationally. Education law has been amended recently by adding a new section (3012-c) regarding Annual Professional Performance Reviews (APPR) for building principals, prescribing that measures of student achievement be part of evaluations. This includes the achievement of the English

Language Learners. These evaluations are to be used for decisions related to employment, professional development, and mentoring/coaching. The law also establishes expedited 3020-a disciplinary procedures for alleged building principal pedagogical incompetence. Germane to the accountability instrument for principals are the Interstate School Leaders Licensure Consortium (ISLLC, 1996) standards.

School principals have been thrust into a brighter spotlight by the No Child Left Behind Act and corresponding state regulations that impose sanctions for poor student achievement. Under current United States law, schools that fail to maintain Adequate Yearly Progress (AYP) are faced with possible corrective actions such as the replacement of those staff associated with the failure, enactment of a new curriculum, a significant decrease in the management authority of the principal, assignment of outside experts, extension of the school day or year, and a restructuring of the school (U.S. Department of Education, 2003). Because of this increased accountability for better academic performance, school districts are seeking to build leaders with the skills and attributes necessary to lead their campuses to an exemplary academic standing and to avoid the sanctions associated with poor results. Wong and Nicotera (2007) contend that "Educational leaders are critical to the process of improving student performance with educational accountability by preparing themselves to provide teachers with the necessary knowledge and skills to make significant improvements" (p. 39). According to Banks, Gay, Nieto, and Ragoff (2007), "Learning is situated in broad socio-economic and historical contexts and is mediated by local cultural practices and perspectives" (p. 15). Therefore, in addition to state and national accountability standards, which have placed greater focus on the performance of principals, unique local factors must be considered in terms of campus leadership.

This study is designed to examine the implications of leadership behaviors and practices of principals in schools in which the English Language Learners are successful in meeting the standards as demonstrated by their performance on state accountability measures. It attempts to identify whether principals surveyed are prepared and professionally developed to provide a quality education for this population of learners and whether they possess the vision and leadership, the ability to foster a positive school culture and to develop and institute a sound instructional program, the skills to manage teacher professional development, and the cultural expertise and proficiency to build family and community relationships to increase the academic performance of the English Language Learners.

In April 1983, the National Commission on Excellence in Education, established by then-U.S. Secretary of Education Terrel H. Bell, released the report *A Nation at Risk*. The most famous line of the widely publicized report declared that "the educational foundations of our society are presently being eroded by a rising tide of mediocrity that threatens our very future as a nation and a people" (U.S. Department of Education, 1983, p. 5). This report included assessment of U.S. schools and colleges and included recommendations intended to improve education (Gratch, 1993). The information contained in the report was interpreted as a scathing indictment of the American educational system that led to substantial upheaval and change (Jensen & Kiley, 2000). The Commission advanced the following recommendations:

- Graduation requirements should be strengthened so that all students establish a foundation in five *new* basics: English, mathematics, science, social studies, and computer science;
- Schools and colleges should adopt higher and measurable standards for academic performance;

- The amount of time students spend engaged in learning should be significantly increased;
- The teaching profession should be strengthened through higher standards for preparation and professional growth.

In 1989, President George Bush brought the nation's governors together for the first national summit on education. This event represented the first time in the country's history where national educational goals were created. The goals directed schools to begin programs that would ensure every kindergartener would begin school ready to learn; the graduation rate would increase to 90%; 4th, 8th, and 12th grade students would master five core subject before graduation; and students would become global leaders in math and science, adult literacy and workforce preparedness, and safe and drug-free schools (Vinovskis, 1999). In 1994, Goals 2000: Educate America Act was signed into law. This Act supported State efforts to develop clear and rigorous standards for what every child should know and be able to do.

Educators in the United States have grappled with the significant challenges of standards and accountability since the publication of *A Nation at Risk* 25 years ago. Elmore (2000) contends that current conceptualizations and structures of school leadership are not equipped to meet the demands of the current state of accountability. He states:

While the goals of the accountability movement were largely intended to improve equity and student learning, we have experienced a number of unintended consequences of an increasingly complex system of assessment and accountability, including students dropping out of school at alarming rates and retention of students (p. 4).

The current iteration of accountability, the No Child Left Behind Act, was approved by the United States Congress in 2002. This Act required each state to develop a system of accountability including annual assessments. It also required teachers to meet "highly qualified"

status, thus indicating full state certification to teach assigned subject areas. One of the most significant portions of the Act included a mandate for each school to achieve Adequate Yearly Progress (AYP). Student populations were divided into subgroups including economically disadvantaged, special education, limited English proficient students (also known as ELLs), and those from major racial/ethnic groups. Schools that contained subgroups who did not achieve AYP would receive substantial sanctions that could include redistricting of students, termination of teachers and administrators, and in the most severe cases, school closing (United States Department of Education, 2001; Petterway, Kritsonis, & Herrington, 2006).

Both positive and negative effects for ELLs result from this heightened emphasis on high-stakes testing. Historically, ELLs have not been included in high-stakes standardized tests (Lara & August, 1996). This practice has resulted in a lack of accountability for the academic progress of ELLs, with ELLs not being held to the same high academic standards as their peers. Consequently, ELLs have not benefited from the educational reforms that followed the implementation of high-stakes assessments (August & Hakuta, 1997).

Because high-stakes tests are meant to raise standards for student learning, ELLs, along with all other students who are tested, may be challenged to meet higher levels of academic achievement than before. The vast majority of high-stakes tests are written and administered only in English, often leaving ELLs at a disadvantage and raising questions as to how the test results should be interpreted (Menken, 2000). As Menken (2000) states,

In order for assessments to be effective and useful for educators in instructional practice, they must be deeply entwined with the classroom teaching and learning driven by the standards. If tests are aligned with standards and curricula, students will have an increased chance of demonstrating what they know and are able to do. Tests written in

the students' native language or translated for the limited English proficient learner, will afford them opportunity to demonstrate mastery of content" (p. 4).

While No Child Left Behind now mandates the inclusion of ELLs in high-stakes tests, in the past, most states have typically exempted students who have been in the United States or in an ESL/bilingual program for less than three years or who have not attained a certain level of English proficiency (Holmes, Hedlund, & Nickerson, 2000). This exemption afforded the ELLs opportunity to develop and hone their language and literacy skills.

However, where ELLs have not been included in high-stakes tests, their needs have often been overlooked in program design and instruction. Thus, they have not reaped the benefits of educational initiatives and reforms intended to raise academic standards and promote student learning.

In New York State, in accordance with Title I regulation, states can exempt "recently arrived" LEP students from one administration of the reading/English language arts assessment (New York State Education Department, 2006). A "recently arrived" LEP student or ELL is one who has attended schools in the U.S. for less than twelve months. "Schools still have the responsibility, even during this first year, to provide appropriate instruction to these students to assist them in gaining English proficiency as well as content knowledge in Reading/language arts and mathematics" (The New Title I: The Changing Landscape of Accountability, 2009, p. 28).

With the added incentive of raising English Language Learners' subgroup test scores under No Child Left Behind, districts are taking unprecedented measures to address ELL needs; this has resulted in efforts to implement approaches and programs with a coherent focus.

American Institutes of Research and WestEd (2006) found that when districts and schools have focused leadership that communicates and makes sure all staff members understand the focus

and priorities for ELLs, schools and districts have higher achievement among ELL students. Williams et al. (2007) echoed this theme; they, too, found that ELL achievement was higher when school and district administrators provided focused and sustained leadership around ELL instructional issues. “Principal leadership is being redefined to focus on effective management of the school improvement process...district leadership, accountability, and support seem to influence ELL student achievement as well,” claim these authors (p. 12).

Based on a recent review of the research, Genesee, Lindholm-Leary, Saunders, and Christian (2005) identified the following program factors and instructional characteristics that promote ELLs’ academic success: effective leadership, a positive school environment, a curriculum that is meaningful and academically challenging, which incorporates higher-order thinking and is standards-based and thematically integrated, consistent and sustained over time. A program model that is grounded in sound theory and practices associated with an enriched, not a remedial instructional model, can make the greatest impact for the ELLs.

Purpose of the Study

The purpose of this quantitative study was to examine the implications of principals’ leadership attributes (beliefs and practices) that impact academic success for English Language Learners on state accountability measures. Selected elementary and middle school principals in New York State (excluding New York City) from high performing Schools in Good Standing (SGS) and low performing Schools in Need of Improvement (SINI) participated in this study. Using an on-line survey, four areas of principal leadership were assessed, namely: vision and leadership, school culture and the instructional program, school management, and school and community. Each of the areas has been aligned to one or more of the six ISLCC standards. Principal quality is linked statistically and practically to student achievement. ISLCC standards,

translated into a rubric of actual workplace behaviors, describe how effective principals work. Principals can use these data to improve their own performance as instructional leaders as they seek to increase their schools' teaching quality and raise their students' achievement (Place, et al., 2010).

Research Questions

Five basic research questions guided this study:

1. Are there differences in vision and leadership for principals in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?
2. Are there differences in the establishment of a responsive school culture for principals in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?
3. Are there differences in the establishment of a research-based quality instructional program in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?
4. Are there differences in school management practices of principals in schools where students fail to meet the standards and those where students are reaching annual performance targets?
5. Are there differences in school and community outreach practices of principals in schools where students fail to meet the standards and those where students are reaching annual performance targets?

Limitations

Thirty-four percent (51) of the 148 potential respondents, who are principals of schools outside of New York City, completed the survey. Since the selected principals did not include

New York City principals, where the largest concentration of English Language Learners currently reside (158,774 ELLs according to 2010 NYSED census data), adding principals of these students to the study may have enhanced the findings. Factors of time and complexity in navigating the International Review Board in New York City were considerations in not surveying this principal group. Additionally, the study was limited by the principals' perceptions of the rate of achievement of implementation of the core areas of principal leadership stated in the Purpose Statement of the study.

Significance of the Study

This study primarily considered the NCLB legislation for the English Language Learners. The implications of principals' beliefs and practices relative to the legislation and also to the research-based tenets of exemplary programs for the ELLs were explored and conclusions were drawn based on data retrieved from a valid and reliable survey instrument which measured the degree to which principals provide exemplary vision for their schools, instructional and culturally proficient leadership, effective school management practices and outreach to families and the surrounding community. The survey was grounded in the Interstate School Leaders Licensure Consortium Standards (ISLLC), which measure principal effectiveness.

The data gleaned from this quantitative study is intended to provide both the researcher and the field with information that will identify the beliefs and practices that are most prominent and prevalent in principals' repertoires of strategies which address the challenges that these students bring to the educational setting and meet their social and academic needs. Sharing data findings could inform decision-making in administrative policies and practices in schools with English Language Learner populations. The findings can also influence principal study groups on effective leadership strategies and best-practice research. Therein is its significance.

Key Terms

Adequate yearly progress (AYP) is a measurement defined by the federal No Child Left Behind Act that allows the U.S. Department of Education to determine how every public school and school district in the country is performing academically according to results on standardized tests.

Attributes are assigned qualities to somebody or something: to regard somebody or something as having particular qualities, beliefs and practices.

Authentic assessments are procedures for evaluating student achievement or performance using activities that represent classroom goals, curricula, and instruction, or real-life performance.

Bilingual education is an instructional program for language minority students that makes use of the students' native language(s). An important distinction is between those programs that use and promote two languages and those where bilingual children are present, but bilingualism is not fostered in the curriculum.

Corrective Action (CA) After four years of not meeting AYP, a school is identified for corrective action. Corrective actions may include: replace some school staff, implement a new curriculum, provide teacher professional development, decrease school's management authority, appoint an outside advisor, extend the school day or school year, and/or restructure the internal organization of the school. Parents and public must be informed of corrective actions.

Cultural competence refers to an ability to interact effectively with people of different cultures, particularly in the context of organizations whose employees work with persons from different cultural/ethnic backgrounds, which results in an ability to understand, communicate with, and effectively interact with people across cultures

Cultural proficiency is a way of being that allows individuals and organizations to interact effectively with people who differ from them. It is a developmental approach for addressing the issues that emerge in diverse environments.

Disaggregated data is the reporting of student academic progress by race, income, major ethnic group, disability and limited proficient English. Academic progress must also be reported by gender and migrant status, but these do not count as an AYP measure.

English language learner (ELL) is a student whose first language is not English who is in the process of learning English.

Home language is the primary language spoken in the home by the family members or caregivers, sometimes used as a synonym for first language or native language.

Limited English proficient (LEP) is the term used by the federal government and most states to identify students who have insufficient English to succeed in English classrooms.

Linguistically and culturally diverse is a term used to identify individuals from homes and communities where English is not the primary language of communication.

No Child Left Behind (NCLB) is a reauthorization of the Elementary and Secondary Education Act, which includes Title I, the government's flagship aid program for disadvantaged students. NCLB supports standards-based education reform based on the premise that setting high standards and establishing measurable goals can improve individual outcomes in education. The Act requires states to develop assessments in basic skills in Reading and Mathematics.

Persistently low-achieving (PLA); Restructuring (RS) school status of chronically low performing schools; states pursue this route in response to a school district that has demonstrated consistent academic failure.

Professional learning community (PLC) is an extended learning opportunity to foster collaborative learning among colleagues within a particular work environment or field. It is often used in schools as a way to organize teachers into working groups.

Second language acquisition is the process of acquiring a second language; acquisition is used to describe the informal development of a second language and learning used to describe the process of formal study

School in Good Standing (SGS) is a school that made its AYP in Reading and Mathematics.

School in Need of Improvement (SINI) is a school that fails to make AYP for two consecutive years

State assessments are tests designed to determine AYP; core subject areas are tested with a standards-based instrument at grade levels three through eight; ninety-five percent of the students are required to be assessed in each school across all states

CHAPTER II

REVIEW OF RELATED LITERATURE

The Literature Review is organized around the four components of the survey that was administered to school principals and provides research in the areas of vision and leadership, cultural and instructional leadership, school management and school and community relationships. In addition, the Literature Review gives a necessary historical context for understanding the expanding legal parameters which impact educational opportunities for English Language Learners. Because of the need to raise the achievement level of English Language Learners, it is important to learn what characteristics of school leaders contribute to ELL performance results and which practices they promote and implement contribute to ELL success in school.

Historical Context

In meeting the educational obligations to the English Language Learner population, school leaders must be aware of a series of federal laws, court cases and legislative decisions that protect the rights of the ELLs. Supreme Court opinions, case law precedent, and congressional actions have strengthened the legal rationale for assuring that ELLs receive an equitable education appropriate to their linguistic and academic needs. “With these protections, there is ongoing, improved clarification about the implementation of instructional practices that ensure equitable access for all ELLs in publicly supported programs and practices”, (Berube, 2000). Schools are bound by legal provisions that support English Language Learners. The educational rights of school-age ELLs have been safeguarded through a series of legislative acts and court decisions that follow.

The Title VI of the Civil Rights Act of 1964 prevents discrimination by government agencies that receive federal funds; if an agency is found in violation of Title VI, that agency may lose its federal funding. This title declares it to be the policy of the United States that discrimination on the ground of race, color, or national origin shall not occur in connection with programs and activities receiving federal financial assistance and authorizes and directs the appropriate federal departments and agencies to take action to carry out this policy. Specifically, Section 601 states the general principle that no person in the United States shall be excluded from participation in or otherwise discriminated against on the ground of race, color, or national origin under any program or activity receiving federal financial assistance.

Section 504 of the Rehabilitation Act created and extended civil rights to people with disabilities. Section 504 has provided opportunities for children and adults with disabilities in education, employment and various other settings. It allows for reasonable accommodations such as special study areas and assistance as necessary for each student, including the English Language Learners. Each federal agency has its own set of section 504 regulations that apply to its own programs. Agencies that provide federal financial assistance also have section 504 regulations covering entities that receive federal aid. Requirements common to these regulations include reasonable accommodation for employees with disabilities, program accessibility, effective communication with people who have hearing or vision disabilities, and accessible new construction and alterations. Each agency is responsible for enforcing its own regulations. Section 504 may also be enforced through private lawsuits. It is not necessary to file a complaint with a federal agency or to receive a "right-to-sue" letter before going to court.

Lau v. Nichols (1974) is a Supreme Court civil rights case that was brought by Chinese American students living in San Francisco, California, who had limited English proficiency. The

students claimed that they were not receiving special help in school due to their inability to speak English, help which they argued they were entitled to under Title VI of the Civil Rights Act of 1964, because of its ban on educational discrimination on the basis of national origin. Finding that the lack of linguistically appropriate accommodations (e.g. educational services in English) effectively denied the Chinese students equal educational opportunities on the basis of their ethnicity, the U.S. Supreme Court in 1974 ruled in favor of the students, thus expanding rights of students nationwide with limited English proficiency. The Supreme Court stated that these students should be treated with equality among the schools. Among other things, Lau reflects the now-widely accepted view that a person's language is so closely intertwined with his or her national origin (the country from which someone or his or her ancestors came) that language-based discrimination is effectively a proxy for national origin discrimination.

The Equal Educational Opportunities Act (EEOA) of 1974 is a federal law which prohibits discrimination against faculty, staff and students, including racial segregation of students, and requires school districts to take action to overcome barriers to students' equal participation in school programming and activities. It is one of a number of laws affecting educational institutions including the Rehabilitation Act (1973), Individuals with Disabilities Education Act (IDEA) and the Americans with Disabilities Act.

Doe vs. Plyler (1982) is a case in which the Supreme Court ruled that the 14th Amendment prohibits states from denying a free public education to undocumented immigrant children regardless of their immigrant status. The Supreme Court declared that school systems are not agents for enforcing immigration law and determined that the burden undocumented aliens may place on an educational system is not an accepted argument for excluding or denying educational service to any student. Public schools are prohibited at any time from: denying

undocumented students admission to school on the basis of their undocumented status, treating undocumented students disparately on the basis of their undocumented status to determine residency, requiring students or parents to disclose or document their immigration status, making inquiries of students or parents that may expose their undocumented status, and requiring social security numbers of all students, as it may expose the undocumented status of students or parents.

In the *Serna vs. Portales* (1974) case, the 10th Circuit Court of Appeals found “undisputed evidence that Spanish surnamed students do not reach the achievement levels attained by their Anglo counterparts” (*Serna v. Portales* 499 F.2d 1147 (1974), sec. 2). The court ordered Portales Municipal Schools to design an educational plan that addressed national origin minority students’ needs by implementing a bilingual and bicultural curriculum, reviewing testing procedures to assess achievement in that curriculum, and recruiting and hiring bilingual school personnel.

In another federal case, *Cintron vs. Brentwood* (1978), the Federal District Court for the Eastern District of New York rejected the Brentwood School District’s plan to restructure its bilingual program, finding that the proposed plan was in violation of the *Lau* Guidelines. The program also failed to provide for existing students whose English language proficiency would enable them to understand regular English instruction.

During the same year, *Rios vs. Reed* (1978) was decided; the Federal District Court for the Eastern District of New York found Patchogue-Medford School District’s transitional bilingual program inadequate, with regard to school professionals’ knowledge of bilingual teaching methods, language assessment and program placement procedures, native language curriculum materials and native language instruction. The court wrote: “while the district’s goal

of teaching Hispanic children the English language is certainly proper, it cannot be allowed to compromise a student's right to meaningful education before proficiency in English is obtained."

The following case is often cited in the literature for its impact on the education of ELLs - *Castaneda vs. Pichard* (1981). As a result of this case, the Fifth Circuit Court of Appeals formulated a test to determine school district compliance with the *Equal Educational Opportunities Act* (1974). The three-part test includes the following criteria: *Theory*: The school must pursue a program based on an educational theory recognized as sound or at least, as a legitimate experimental strategy; *Practice*: The school must actually implement the program with instructional practices, resources and personnel necessary to transfer theory to reality; *Results*: The school must not persist in a program that fails to produce results. The "Castaneda Test" has been applied by courts in *Keyes vs. School District #1* and *Gomez vs. Illinois*.

In *Keyes vs. School District #1* (1983), a U.S. District Court found that a Denver public school district had failed to satisfy the second of the "Castaneda Test's" three elements because it was not adequately implementing a plan for national origin minority students. Likewise, in *Gomez vs. Illinois* (1987), the Seventh Circuit Court of Appeals found that state education agencies as well as local education agencies are required, under the *Equal Educational Opportunities Act* (1974), to ensure that the needs of limited-English-proficient children are met. These federal decisions apply to all school districts receiving federal funds. Districts that have few limited-English-proficient students are not exempted from providing appropriate services

The four component areas of the survey that was administered to school principals are as follows:

1. *Vision and Leadership* includes questions about student placement and knowledge of effective program and program outcomes, shared responsibility for student

success, principal preparation for work with ELLs, advocacy, awareness of school improvement strategies, and cultural proficiency.

2. *Positive School Culture and Instructional Program* includes questions about shared leadership for the ELLs, creating climate and culture that celebrates diversity, supports for bi-literacy and bilingualism, and facilitation of professional development in the areas of curricular planning, inclusion and equity, accountability, and data-driven instruction.
3. *School Management* includes questions related to program development and monitoring, hiring and retaining qualified staff for ELLs, management for professional development opportunity and allocation of resources and materials to support innovative practice.
4. *School and Community* centers on issues related to home-school communication, invitation to parents to serve on school leadership teams, the shared decision-making process, and public advocacy for the ELL community in public forums and events.

Seminal Studies

One of the most critical attributes of effective schools for ELLs involves strong school leadership (August & Hakuta, 1998; Reyes, 2006; Shaw; 2003; Walqui, 2000). Although such leadership may come from a variety of sources within the school community, the principal stands out as the one person who can influence long-term success of programs for ELLs (Reyes, 2006). Effective principals demonstrate leadership for ELLs by promoting justice in the schools (Shields, 2004), raising issues concerning equity (Cambron-McCable & McCarthy, 2005) and supporting inclusive practices to meet the needs of a diverse student population (Riehl, 2000).

The literature also supports the notion that a successful program for ELLs cannot be the principal's responsibility alone. A consistent finding in the literature is that the most effective programs for ELLs have emerged from comprehensive, school-wide efforts that involve principals along with their teachers and staffs (August & Hakuta, 1998; Coady et al., 2008; McLaughlin & McLeod, 1996; Suttmilller & Gonzalez, 2006). All of these educators take charge of their educational programs (Shaw, 2003) and customize learning environments for ELLs in a way that reflects local contextual factors as they address the learners' diverse needs through informed inquiry and collaborative planning (August & Hakuta, 1998).

Although exemplary programs for ELLs have adopted diverse approaches, they converge on a key characteristic: the learner is the priority (August & Hakuta, 1998; Lucas, Hanze & Donato, 2004; Suttmilller & Gonzalez, 2006). To keep the ELLs at the forefront of educational programming in the schools, educators may need to redefine their roles and relationships (Shaw, 2003). New relationships among teachers and staff, under the guidance of the principal, have the potential to ensure ELLs full social and academic participation (Freeman, 2004; Mosca, 2006), erase deficit perspectives of these learners (Freeman, 2004), and create learning opportunities for educators (Haynes, 2007; Mosca, 2006).

Principals in effective programs for ELLs respond to the instructional demands on both the teaching and non-teaching staff by providing appropriate and ongoing professional development (August & Hakuta, 1998; Calderon & Carreon, 2000; Coady et al., 2008; Echevarria, 2006; Haberman, 1999; Lucas et al., 2004; Reyes, 2006; Stritikus, 2006; Walker, 2005; Walqui, 2000). Professional development prepares non-teaching staff to deal more effectively with ELLs (Lucas, et.al 2004); for teachers it aims to improve the quality of instruction for ELLs with the goal of increasing student achievement (Stritikus, 2006). Teachers

and staff who are given the time to work together about matters pertaining to the ELLs share language and understanding that contribute to a coherent and collaborative program for them (Echevarria, 2006). As instructional leaders, principals must also ensure that teachers have the time to work on a challenging and culturally responsive curriculum and instruction for ELLs (August & Hakuta, 1998; Lucas et al., 2004; McLaughlin & McLeod, 1996; Shaw, 2003; Walker, 2005). Authors Lindsay, Roberts and CampbellJones (2005) state that:

Educational leaders, intent on transforming their schools and districts into pluralistic inclusive organizations, must first be willing to look deeply into their own tacit assumptions about diverse students with whom they work and examine their expectations about those students' academic achievement potential (p. xvi).

They continue with this thought: "Leaders also must identify and pursue effective ways to both educate their students successfully, using strategies that both acknowledge and respond to the students' varied cultural backgrounds" (Lindsey, et al. p. xvii).

Effective school leaders actively create the tone in schools and establish high expectations for both teachers and students in their schools. In a December 2005 McREL policy brief entitled *English Language Learners: A Growing Population*, authors Flynn and Hill state:

Before a district or school can be successful in implementing program and practices for ELL students, leadership team members need a positive 'can do' attitude. When a school community encounters diversity for the first time, those in leadership roles must be able to model the response needed." (p. 5)

System leaders take time to analyze school-wide patterns of achievement data, look for trends over time, and plan interventions for students that are not meeting the standards.

Curriculum plays a critical role in the ensuring that ELLs receive consistent, well-articulated instruction within and across grade levels (August & Hakuta, 1998; Genesee, 2006). A well-designed curriculum can set high expectations for ELLs' achievement and enhance their capabilities to meet high standards (McLaughlin & McLeod, 1996). As a result, ELLs are able to access their full linguistic and conceptual repertoires as they learn (Gibbons, 1991). Principals who understand the critical role that home language plays in ELLs learning seek to hire bilingual educators who can communicate with these learners (August & Hakuta, 1998; McLaughlin & McLeod, 1996; Walker, 2005). Bilingual educators who themselves are ELLs recognize the challenge that ELLs face in learning a second language in ways that others may not (Lenski, 2006).

As the influx of immigrant and refugee students continues to accelerate, both statewide and nationally, there is greater pressure on schools to meet the academic needs of second-language learners. "Many schools are in need of reform to meet the needs of English Language Learners through a school-wide commitment to increased academic achievement", (Gandera & Contreras, 2009, p. 19). Students are coming to schools from all corners of the world under a variety of circumstances. Principals must take the lead with their staffs to research effective practices that will yield positive outcomes in ELL academic performance. Alford and Nino (2011) state:

The leader responds to the urgent need to raise student achievement through academic rigor and relevance for all students and serves as an advocate for student learning. The need to assist all students in receiving a high quality education to ensure both equity and excellence and to bridge the current achievement gap for ELLs is critical. (p. 29)

Finally, principals in effective schools for ELLs place a high value on ensuring that the school is connected to ELLs' families and these families to the school (August & Hakuta, 1998; Calderon & Carreon, 2000; Coady et al., 2008; Haberman, 1999; Lucas et al., 2004; McLaughlin & McLeod, 1996; Montecel & Cortez, 2002; Stritikus, 2006; Walker, 2005; Walqui, 2000). They facilitate these families' involvement in innovative ways and in their home language (McLaughlin & McLeod, 1996; Lenski, 2006). Bilingual educators who communicate fully and authentically with ELLs families help them mediate home-school differences and empower families to participate in their children's education (Lenski, 2006; Wenger et al., 2004).

Vision and Leadership

Principals can shape schools into learning organizations (Senge, 1990) and set the tone for the achievement of all students in a school building. Successful principals also know that creating this culture of change requires commitment, hard work, and significant time (Senge, et al., 2000). Rather than responding individually to disparate leadership tasks, principals today must be able to reflect in a systems thinking manner and understand and react to a situation within the larger context of the entire organization (Mulford, 2008). The focus and attention of a principal can readily determine the success and outcome of an organization (Mulford, 2008). According to Mulford, "Successful school leadership is contextually and organizationally savvy and leadership smart" (p. 67). Leithwood & Riehl (2005) add:

Leaders must develop a purpose for the organization by setting directions. Successful leaders provide the capacity for building a shared vision and facilitates this process, help promote the acceptance of group goals, and set expectations for high performance within the organization. In addition, successful leaders know how to develop people by building capacity within their organizations. Teacher efficacy, motivation, and knowledge and

skills must be developed in order to create and sustain a successful educational environment. Principals who are deft at leadership are able to provide individualized support to their staff; provide intellectually stimulating activities, work, and professional development; and serve as a model educator within the workplace (p. 31).

The role of the instructional leader is a relatively new concept that emerged in the early 1980's, influenced largely by the research that found effective schools usually had principals that stressed the importance of leadership in this area (Brookover & Lezotte, 1982). In the first half of the 1990s, attention to instructional leadership seemed to waiver, displaced by discussions of school-based management and facilitative leadership (Lashway, 2002). Instructional leadership has made a comeback with increasing importance placed on academic standards and the need for schools to be accountable; a deep involvement of teaching and learning has influenced the term "learning leader" over "instructional leader" (DuFour, 2002).

The principals must possess certain skills to carry out the tasks of an instructional leader: interpersonal skills, planning skills, instructional observation skills; and research and evaluation skills (Lashway, 2002). They have to have up-to-date knowledge on three areas of education: curriculum, instruction, and assessment (DuFour, 2002). The instructional leaders make instructional quality the top priority of the school and attempt to bring that vision to realization (Flath, 1989). This is especially important for principals of English Language Learners.

According to a 2006 Brown University study, America's classrooms are becoming increasingly diverse, and students whose first language is not English are the fastest-growing school population. While the group of students known as ELLs consists of children from many different language and cultural backgrounds, these students share the considerable challenge of having to learn English while also responding to the subject-matter demands of school.

Assessment policies exert considerable influence over the education of English Language Learners because assessments influence the identification, classification, placement, and ongoing monitoring of students. Assessment results shape teachers' beliefs about student abilities and the quality of instruction offered to them (Lachat, M. & Spruce, M., 1998). The principal, as an inclusive instructional leader who realizes the school's responsibility to the English Language Learners and their families and establishes a vision for the school community to provide excellence in programming for them, is essential.

The effective schools movement investigated schools whose students from disadvantaged situations (minority status, low socio-economic levels) were performing at average or above average levels in basic skills on standardized achievement tests (Brookover & Lezotte, 1979; Edmonds, 1979; Sizemore, Brossard, & Harrigan, 1983; Venezky & Winfield, 1979). In the late 1970s, based on contrastive studies of high and low performing schools, researchers began to identify common factors or characteristics of these effective schools. One of the major findings of the effective schools research was the identification of instructional leadership as a significant aspect of effective schools.

Described as a multidimensional construct, instructional leadership includes characteristics such as setting high expectations of students and teachers, an emphasis on instruction, provision of professional development, and use of data to evaluate students' progress, among others. Instructional leadership has also been found to be a significant factor in facilitating, improving, and promoting the academic progress of students (Heck, Larsen, and Marcoulides, 1990). Multidimensional constructs are pervasive in organizational research. A construct is multidimensional when it refers to several distinct but related dimensions treated as a single theoretical concept (Law, Wong, & Mobley, 1998).

Although there is a rich description of instructional leaders' behaviors from the literature on effective leaders researched for this study, there are limited data about which leadership characteristics facilitate and promote change in educational settings. Instructional leadership characteristics parallel the two dimensions of leadership discussed previously. "A large body of research on schools has consistently demonstrated that the most effective leader behavior is strong in both initiating structure and consideration" (Hoy & Brown, 1988, p. 27). Hoy and Brown (1988) found that teachers responded more favorably to principals with "a leadership style that combines both structure and consideration" (p. 36).

Principals constitute the core of the leadership team in schools. Existing effective schools research has found that principals influence a variety of school outcomes, including student achievement, through their recruitment and motivation of quality teachers, their ability to identify and articulate school vision and goals, their effective allocation of resources, and their development of organizational structures to support instruction and learning (Horng, Kalogrides, and Loeb, 2009, p. 11). Case studies of exceptional schools indicate that school leaders influence learning primarily by galvanizing effort around ambitious goals and by establishing conditions that support teachers and that help students succeed (Togneri & Anderson, 2003).

In their landmark study of visionary companies, Collins and Porras (1997) define leaders as individuals who displayed high levels of persistence, overcame significant obstacles, attracted dedicated people, influenced groups of people toward the achievement of goals, and played key roles in guiding their companies through crucial episodes in their history (p. 59). This definition matches closely the definitions in the current research used for school leaders in this literature review.

Most research suggested that leadership must come from the school principal (Riordan, 2003). The realization that improving instruction requires shifts in the behavior of school leaders has spurred new theories of school leadership and attempts at restructuring school organization. There is now much greater emphasis placed on the complex idea of “distributed leadership” shared by multiple individuals at different levels of the organization (Riordan, 2003).

Similarly, Spillane, Halverson, and Diamond (2001) argue that school leadership must be viewed as the cumulative activities of a broad set of leaders, both formal and informal, within a school, rather than as the work of one actor, such as the principal. This “distributive” leadership serves many purposes, including expanding expertise across staff members, thereby deepening efforts for instructional improvement (Supovitz & Poglino, 2001).

In Louis, Leithwood, Anderson and Wahlstrom’s 2010 study on principal leadership published by the Wallace Foundation, the concept of shared leadership resonates. When others gain influence in schools with high levels of stakeholder involvement, principals do not lose influence. They remain the key actors in schools, and one of their most important roles is creating a school-wide focus on goals and expectations for student achievement.

The National Association of Secondary School Principals (NASSP, 2006) insists that the principal should provide leadership in the school community by building and maintaining a vision, direction, and focus for student learning. Among the primary responsibilities of the principal are the following: establishing a focus on learning; building professional communities that value learning; engaging external environments that matter for learning; acting strategically and sharing leadership; and creating coherence (Knapp et al., 2003).

Principals are charged with developing a school-wide vision, which includes setting specific goals and communicating the vision to the staff, students, and community

(Kuamoo, 2002). The principal's day-to-day behavior communicates that he or she has a firm understanding of the school's purpose and can translate that knowledge into programs and activities within the school (Smith & Andrews, 1989). Walker, Shafer, & Iliams (2004) emphasized the importance of principals' participation in professional development in the areas of second language acquisition, diversity, ELL pedagogy, and specialized training in implementing and managing effective ELL programs, as a means to carry out one's vision.

Bennis (2009) identified values that leaders have to have in order to be successful as: compassion, persuasion, caring, empathy and trust, constancy, congruity, reliability and integrity. Bennis says about leaders, "If you lead through voice, inspire through trust and empathy, the climate of an organization can change and leaders can reshape their organizations" (p. 159). Change is an identified constant; leaders "must manage change" (p.162) and "see change as an opportunity to move an organization forward" (p.164).

Positive School Culture and Instructional Program

Although numerous studies have investigated the relationship between the instructional leadership behaviors of principals and student achievement, most have not been conducted in an environment as politically driven as the current assessment-based educational system. The mandates of the No Child Left Behind Act (2001) to produce high levels of student performance and to staff schools with highly qualified (and skilled) teachers are perhaps the most challenging requirements in the history of education. Principal leadership will be the key for school systems to be successful, if educators are expected to thrive in this assessment-driven environment and continue to meet the developmental needs of their students (Fullan, 2003).

There are many tasks that are essential to being an instructional leader. Waters et al., (2003) contend that:

Although researchers can identify which aspects of the principalship are essential to raising student achievement, principals must continue to reflect on the context variables within their schools and school systems to ensure that their time is expended in the most effective manner. By doing so, principals will better understand how to be responsive to the most crucial needs of their schools with regard to raising student achievement. More important, by reflecting on the leadership tasks that influence student achievement, principals will better understand which tasks to delegate to provide time to build school-based leadership capacity directed toward improving student achievement. Principals who do not enable others to engage in leadership will quickly learn that there is not enough time for one person in a school to carry out the myriad leadership tasks related to the principalship (p. 5).

The No Child Left Behind (NCLB) Act ushered in an unprecedented era of accountability for public schools across the United States. The goal of NCLB was to have one-hundred percent of America's schoolchildren at or above proficiency in reading and mathematics by 2014, as measured by a series of formal assessments created by each of the states.

Contributing factors to student success has been attributed to two factors: the principals' ability to create a culturally proficient environment wherein all students feel valued as contributors to the school community and embraced for the diversity they bring to the classroom and the principals' ability to establish a rigorous instructional program in the schools with supports needed to scaffold the learning of those students farthest away from achieving the learning standards as evidenced by their performance on standardized assessment (O'Shea, 2003).

Kaplan et al. (2005) indicated in their study of the alignment of the standards for school administrators identified by the Interstate School Leaders Licensure Consortium (ISLLC) with student achievement, that although the principal's effect on student achievement may be indirect, it is crucial. The study finds that the principal controls the most important factors affecting a school's teaching and instructional quality including attracting, selecting, and keeping outstanding teachers; working with the school community to establish a common mission, instructional vision, and goals; creating a school culture grounded in collaboration and high expectations; facilitating continuous instructional improvement; finding fair, effective ways to improve or remove low-performing teachers; and producing excellent academic results for all students as gauged by external tests aligned with state academic standards. The principal's role is one filled with diversity of responsibility for and commitment to ensuring the success of all students.

School culture. School leaders must be able to interact with people from a variety of cultures and devise strategies that enhance education in diverse settings in order to effectively manage the diversity that exists within their organization. (Rothstein-Fisch & Trumbull, 2008; Williams, 2003) In a culturally supportive school, educators are sensitive to ELLs social/emotional factors and value the linguistic and cultural backgrounds of their students (Berman, et al, 1992, 1995; Lein, et al., 1997; Lucas, et al., 1990). Second language learners' success is often pre-determined by teacher expectations (August & Hakuta, 1997). Students achieve more when their teachers perceive them as able and interested in learning (Onosko, 1992). In effective schools for ELLs, high expectations are reflected by continuously reinforced messages that high levels of learning and achievement are expected of all students (Berman, et.al, 1995). High expectations are also reflected by how well staff know and understand the

communities which their students come from and the kind of comments they make about them (Samway & McKeon, 1999). High expectations are also conveyed through personal relationships in which the staffs communicate to the students “This work is important; I know that you can do it; I won’t give up on you” (Howard, 1990, p. 102). The principal has a major role in developing the culture for his/her building relative to these beliefs and messages.

Alford & Nino (2011) state:

Educators are all too familiar with the statistics related to English Language Learners and it seems that the headlines frequently offer grim predictions for schools with large ELL populations. However, if we, as educators, let these quips and bylines guide our vision, then students are going to drop out, never learn English, and fail to meet minimum standards. Negative outcomes are not and do not have to be the reality for ELLs. School leaders are making a difference and yielding a positive outcome for ELLs with successful leadership practices and strategies, embedded professional development methods and implementation models that build a high culture of expectation for these students that do scaffold ELL students to high levels of achievement (p. vii).

The principal who fosters a culture of academic achievement takes a stand for equity and excellence both in words and in actions.

Cultural proficiency requires educators to have deep cultural knowledge and asset-based beliefs about students and their families from diverse backgrounds. Developing cultural knowledge means going beyond surface-level understanding of cultural norms and traditions and learning about hidden and invisible culture that drive communication, interaction style and world views. Developing cultural proficiency requires becoming aware of personal beliefs and

reframing those that lead to deficit thinking. Guerra & Nelson (2009) state in their article *Cultural proficiency: Love and compassion challenge taken-for-granted assumptions* that without unpacking these personal beliefs, teaching will not change; schools will not change. They contend that both students and families know when educators hold deficit beliefs; they surface in communications, interactions and in the expectations that school leaders and staffs convey to their stakeholders (p. 61).

Each child and adult who walks through the door must feel welcome, safe, and included in the school community, regardless of the demographic make-up of the school. Consequently, the changing demographics in our communities today require educators to be prepared to work with students from varying cultural backgrounds (Vaughan, 2005). Culturally proficient leaders, as noted by Lindsey, Robins, & Terrell (2009) are culturally competent in situations which affect students, community, faculty, and staff in their schools. Culturally proficient leaders are committed to educating all students with a curriculum that recognizes their cultural backgrounds, languages, and learning styles. Thus, cultural proficiency is a frame of mind about how we interact with people of different cultural backgrounds. Culturally proficient principals change the question from "What is wrong with these students?" to "How can we better serve our students?" (Lindsey et al., 2009, p. 13).

Lindsay, et.al (2009), define culturally proficient leaders as “those that display personal values and behaviors that enable them and others to engage in effective interactions among students, educators and the community they lead” (p. 25). They describe cultural competence as “behavior that aligns with the standards that move an organization or an individual toward culturally proficient interactions” (p. 27).

The role of the principal in the area of establishing a positive school culture is to shape the environment to manage the population changes that bring diversity to schools and multiculturalism, cultural proficiency, a mind-set and paradigm shift from viewing cultural differences as problematic to learning how to interact effectively with other cultures in a positive and productive way, is integrally important for the English Language Learners. Flannery (2007), senior director of the National Association of Secondary School Principals, stated “Establishing a school culture for student success is about moral courage. It is about using every opportunity to espouse your view and share it with parents, students, teachers, and the community” (2007).

Instructional program. Since the enactment of NCLB, there have been attempts to document how the requirements of this legislation have affected policies and practices in schools and school districts. There has, however, been little attention paid thus far to the way that NCLB has affected educational practices for limited English proficient students (LEPs) or English Language Learners (ELLs) (Lara 2005).

The No Child Left Behind legislation has resulted in higher expectations for school districts to ensure proficient levels of student achievement. The related mandates and regulations now compel principals to get the job done and lead the improvement of student achievement (McLeod, D'Amico, & Protheroe, 2003). Accordingly, principals must continue to determine how to best use their time to engage in the most essential instructional leadership tasks.

Research has consistently supported the instructional leadership of the principal as the most important factor in the formula for school change (Bliss, Firestone & Richards, 1991; Fullan, 1991; Goldenberg and Sullivan, 1994; Wagner, 1994). The stakes for effective school leaders are high in today's model of system-wide accountability, where U.S. public schools are charged with the tasks of improving student achievement and closing performance gaps among

the subgroups of an increasingly diverse student population (Catano & Stronge, 2006; Portin et al., 2006; Thomas et al., 2000). Today's school leaders are facing an intricate world with new challenges and complex barriers that must be overcome if they are to create learning environments in which all students can succeed (Schlechty, 2008). Leadership is needed to transform schools to meet these challenges (Reyes & Wagstaff, 2005) and to turn schools into arenas of learning for all (Leithwood & Riehl, 2005).

The Wallace Foundation, which has dedicated years of research into the work of school principals, published in 2011 their report entitled *The School Principal as Leader: Guiding Schools to Better Teaching and Learning*. In the Overview to the report, the authors state: "Education research shows that most school variables, considered separately, have at most, small effects on learning. The real payoff comes when individual variables combine to reach critical mass. Creating conditions under which that can occur, is the job of the principal" (p. 2).

Crawford (2004) noted that school administrators have to make decisions that affect many students and that there is no one-size-fits-all when it comes to educating diverse groups of students (p. 28). "Since no two children start out at the same level, have the same aptitudes, use the same learning strategies, experience the same influences outside of school, and progress at the same rates, many different approaches to effective instruction can be successful when implemented well", (Genesee, 1999, p. 4). The principal is instrumental in knowing how to choose effective programs begin for the ELLs; understanding the needs of the ELL population is of paramount importance (Olsen & Romero, 2006e).

Marzano (2003) identifies one of the key factors in fostering school achievement as a "guaranteed and viable curriculum" (p. 22). For English Language Learners, a viable curriculum must include a detailed developmental sequence for learning the English language in social and

academic contexts; this is in contrast to a language arts curriculum for native speakers, which primarily seeks to add academic discourse to the native language that a student brings to school. A viable curriculum also must address the additional time it will take for these students to concurrently master academic literacy and content. Accomplished school leaders create an infrastructure to build an effective learning environment for their ELLs, which include established and protected time for planning of curriculum and instruction, program monitoring, and student assessment (WestEd, 2003).

The use of effective research-based strategies validates instructional methodologies, facilitates data collection, and eliminates the uncertainty of testing new teaching methods. The instructional strategies that principals identified as contributing factors to their ELL students' success are direct instruction, differential instruction, scaffolding, modeling, and choral reading (August & Shanahan, 2006; Carlo et al., 2004; Genesee et al., 2006). Beyond issues of language of instruction, questions remain about the characteristics of all programs for English language Learners. While the instructional program-type influences practice and student achievement, the level of implementation and the quality of instruction have far more influence (Tivnan & Hemphill, 2005). Program instructional quality has been the key to positive outcomes for ELLs (August & Hakuta 1997).

Standards-based instruction (SBI) is at the forefront of education reform because it presents a way to ensure that all students are exposed to challenging curricula and prepared to contribute positively to an increasingly complex world. SBI is characterized by *content standards*, which define what students should know and be able to do, *benchmarks*, which identify the expected understandings and skills for a content standard at different grade levels, and *performance standards (or indicators)*, which describe how well students need to achieve in

order to meet content standards. ELLs need to be included in standards-based educational reform.

According to Hakuta (2001), clear academic standards must be in place to confirm that ELLs should be held to the same expectations as mainstream students. Hakuta cautions, however:

It is unreasonable to expect ELLs to perform comparably to their native English-speaking peers in their initial years of schooling (hence the need for standards specific to ELLs) and holding them to this expectation too early in their educational careers can be detrimental to their academic progress, not to mention their self-esteem. The problem enters when students are not pushed to go beyond this stage over time, are presumed to be at an elementary level, or are misdiagnosed as having educational disabilities by teachers unfamiliar with the needs of ELLs (p. 3).

The literature has pointed out that for linguistically diverse learners, meeting content standards is a more complex and cognitively demanding task than it is for native English speaking students (McKeon, 1994). In addition to meeting the standards, ELLs are often faced with understanding and processing the English language while making sense of the content to be assessed. Also, their previous schooling experiences may have had different curricular sequences, content objectives, and instructional methods from their current school. Overall, ELLs may need more time to meet state standards, which may require the development of additional benchmarks to assess their progress in meeting the standards (August & Hakuta, 1997).

Effective principals are educators, anchoring their work on central issues of learning and teaching and continuous school improvement. Effective principals model, above all else, that schools are learning organizations, focused on student achievement (Leithwood & Jantzi, 1990). Schmoker (1999) contends the combination of three concepts constitutes the foundation for positive improvement results: meaningful teamwork; clear, measurable goals; and the regular collection and analysis of performance data. Principals must lead their school through the goal-setting process in which student achievement data is analyzed, improvement areas are identified and actions for change are initiated. This process involves working collaboratively with staff and school community to identify discrepancies between current and desired outcomes, to set and prioritize goals to help close the gap, to develop improvement and monitoring strategies aimed at accomplishing the goals, and to communicate goals and change efforts to the entire school community. Principals must also ensure that staff development needs are identified in alignment with school improvement priorities and that these needs are addressed with appropriate professional learning opportunities.

With the increased pressures placed on principals to lead their schools as they strive to meet the requirements set forth in the NCLB, principals and teachers need to be collaboratively engaged in the analysis and use of student assessment data to inform instruction as they seek to leave no child behind (Geocaris, 2004; Lashway, 2003). According to Lashway (2003), in addition to traditional managerial duties, today's principals:

must serve as leaders for student learning; know academic content and pedagogical techniques; work with teachers to strengthen skills; collect, analyze and use data in ways that fuel excellence; rally students, teachers, parents, local health and family service agencies, youth development groups, local businesses and other community residents and

partners around the common goal of raising student performance; and have the leadership skills and knowledge to exercise the autonomy and authority to pursue these strategies (p. 2).

The National Staff Development Council in 2009 published the report *Professional Learning in the Learning Profession: A Status Report on Teacher Development in the United States and Abroad*. The report stated that less than one-third of teachers received even one day of professional development over the last three years on how to teach new Limited English Proficient students or students with disabilities. The report also suggested that principals play a major role in developing a “professional community” of teachers who guide one another in improving instruction.

Martin-Kneip defines a “professional community” as a group of educators who establish consistent and well-defined learning expectations for children, hold frequent conversations about pedagogy, and visit one another’s classrooms to observe and critique instruction. Effective principals also manage this professional learning. They emphasize research-based strategies to improve teaching and learning and initiate discussions about instructional approaches, both in teams and with individual teachers. Martin-Kneip (2007) supports this same belief:

The Professional Learning Community provides the structures and opportunity for its members to engage in deep conversations and inquiry around significant problems issues and ideas. Collaboration can improve learning for everyone, especially if it is mediated by processes that deepen discourse. (p. 78)

In much of the literature, principals identify professional development and effective instructional strategies as the factors that contributed the most to their ELLs’ successful

academic performance. These factors emerged repeatedly as principals analyzed contributing dynamics and identified examples of effective practices at their schools. Access to high-quality professional development enables teachers to examine alternatives to their teaching methods and familiarize themselves with updated materials, in addition to augmenting their content knowledge and confidence.

School Management

School administrators serve as models of professionalism in their interactions and decisions. They are knowledgeable about the purposes of education in today's society and are committed to supporting every student's right to a quality education (WestEd, 2003). WestEd (2003) states, "High quality student performance depends on high quality school leadership and management" (p. 1).

A manager's focus tends to be more on work and getting the job done, while a leader's focus is more on engaging people to fulfill the vision of the leader. Managers are "risk-averse" and will seek to avoid conflict; leaders are "risk-seeking" and while pursuing their vision, consider it natural to encounter problems and hurdles (Straker, 2008). Due to the nature of their daily work, principals are perceived more as leaders than as managers. Some of their duties, however, involve the need to assume a leadership role and other responsibilities dictate management skills. The most competent leaders are proficient at both (Maccoby, 2000). Principals' position authority flows downward from superiors and gives them the right to manage; personal authority flows upward from followers and gives principals the right to lead. (Dunklee, 2000)

Early conceptualizations of the principal as building leader leaned toward a more managerial style of leadership (Baker et al., 2007). As schools have become more intricate and

intense in the needs and demands of daily practices and ongoing accountability, the definition of the school leader has changed (p. 45). “Today, principals are responsible for working with the entire spectrum of stakeholders: from students to school board members, parents to policy makers, teachers to local business owners, support staff to union officials” (Mangin, 2007, p. 319).

Bolman & Deal (1997) identify four sides or frames of leadership that must be adjusted when introducing or adapting a school innovation. Uprooting, adjusting or creating instructional design that is consistent with the attributes of a successful instructional program for a diverse student population requires a re-examination of the four sides of leadership and how action on the part of the principal can set the tone for successful change. These four sides of leadership are: structural, human resource, political, and symbolic leadership. Bolman & Deal (1997) state: “Ideally, managers combine multiple frames into a comprehensive approach to leadership. Wise leaders understand their strengths, work to expand them and build teams that can provide leadership in all four modes.” (p. 37)

In successful schools, principals provide opportunities for subdominant groups like new bilingual or English as a second language (ESL) teachers to have “access to decision making, creating internal advocacy groups, building diversity into organizational information and incentive systems, and strengthening career opportunities” (Bolman & Deal, 1997, p. 92). New teachers are acknowledged for their atypical skills and commitment to equity-based educational excellence for *all* learners, including English Language Learners.

Goldberg (2004) found that school leadership and expertise were the most important factors in creating settings that improve teaching and learning for language-minority students. When there is a school-wide intensive focus on improving student achievement, leaders create

conditions for positive change. According to Smiley and Salsberry (2007), principals must create and maintain this commitment through distributive leadership, practice-oriented professional development, and a high level of collaboration found in professional learning communities. Principals who see themselves as learning leaders will promote teachers' collaborative efforts to improve student learning (DuFour, 2002).

According to the 2006 National Association of Secondary School Principals' annual report, all schools should establish a governing council that includes students, parents, and staff members in key decisions to promote student learning and an atmosphere of participation, responsibility, and ownership. "District and school leaders, including staff developers, district coordinators, and mentor teachers as well as principals and superintendents, can advance powerful and equitable student learning." (p. 3)

Elmore (2002) states:

Knowing the right thing to do is the central problem of school improvement.

Holding schools accountable for their performance depends on having principals in the schools with the knowledge, skill and judgments to make improvements that will increase student performance. (p. 135)

School and Community

Parents are their children's first teachers. The involvement of all parents, including parents of ELLs, contributes to their children's learning and enables students to succeed not just in school but throughout life. Support for parental involvement is shown in compelling research evidence suggesting that parental involvement has positive effects on children's academic achievement (Carrasquillo & London, 1993; Delgado-Gaitan, 1991; Heine, 1992; Henderson, 1987; Quelmatz, Shields & Knapp, 1995). Children do best in school when their parents are able

to play four key roles: that of teacher, supporter, advocate, and decision maker. Parental involvement is associated with numerous benefits: sustained gains in academic achievement, enhanced English language skills, increased cognitive growth, improved behaviors in school, better home-school relationships, more favorable attitudes toward school and higher self-concept (Bermudez & Marquez, 1996; Carrasquillo & London, 1993; Ochoa & Mardirosian, 1996; Sherman, Cheyette & Peterson, 1991; Shartrand, Weiss, Kreider and Lopez, 1997) .

Teachers alone cannot improve ELLs achievement; parental involvement at home and school is a critical component. Home environments that encourage learning, family involvement in school, and high academic expectations, contribute significantly to student achievement for ELLs (Moyer & Clymer, 2009). Parental input is also helpful in determining factors that create culturally proficient environments. Moyer and Clymer contend:

Because parents of ELLs often experience the same type of isolation, unwelcomed feelings as their children, their ideas and opinions about effective educational practices and the most suitable environments are crucial. Parents are more likely to become involved in the education of their children when they perceive that the school demonstrates a sincere desire to include them in the learning process. (p. 17)

Parents realize their involvement in the education process is important when schools value their input (DuFour, DuFour & Eaker, 2008). Many ELLs' parents face language, cultural and economic barriers when accessing the school system. Although they may be willing to get involved, they may not know how. Schools with a high ELL population face the challenge of communicating with parents, many of whom have comparatively low levels of literacy in their native language, in addition to not speaking or reading English (Price, 2008).

Parents' lack of English language proficiency, aggravated by a view on the part of many school officials that ELL parents lack the ability to become involved in the education of their children, create “daunting barriers” for parent involvement (Arias & Morillo-Campbell, 2009) Arias and Morillo-Campbell, argue that despite the barriers, schools and policy makers can and should respond with a variety of measures to foster parental involvement:

Given that gap, it is very important to identify practices that may improve ELL parental involvement and thus student achievement. Many programs make little effort to promote ELL parental involvement, defining parental involvement only in terms of the schools' needs or in terms of a deficit-based perception of ELL families. (p. 7)

As much as ELL parents may want to become informed and involved in their children’s schooling, “the too-frequent reality of current anti-immigrant sentiment and English-only policies makes access to school sites more difficult than ever for many parents. The attitudes of teachers and administrators can have a significant impact on parental involvement” (p. 12).

Districts throughout the country are using the services of community-based organizations to provide cultural and academic support to recent immigrant students and their families and to support the teachers and schools that serve these students. For example, community-based organizations are working with districts to transition immigrant students into their new environment in the following ways: explaining how expectations, norms, and behaviors in U.S. schools are different from those in their home country; providing afterschool programs, night classes, or summer programs that can lend linguistic, academic, and social support to children in a safe and supervised environment; identifying differences in pedagogy or

instruction that students may have learned differently in their home country; translating into a native language critical information that the student or family must know; providing classes or training for parents; providing opportunities for students and families to network with other recent immigrants; serving as a liaison between the community and the school or district. (Olsen, 2006).

Involving the community and families in meaningful ways is important work for school leaders. Leaders can start by involving families when creating a mission statement and vision for the school (DiPaola and Walther-Thomas, 2003). They can involve families and the community when addressing safety and discipline issues including the establishment of a school safety committee that includes community representatives to gather and analyze data, put together and implement a plan, and monitor its results (NEA, 2003). Leaders can include parents on the school's interviewing and hiring committee to illustrate parent involvement in important activities (Johnson and Birkeland 2003). They also can learn what it is that parents want to know and provide them the information frequently and briefly (Wherry, 2003).

The literature suggests that school leaders should go beyond simply involving the community and create relationships among the school, families and the community. Principals can visit families at home when possible. They can become familiar with business people and community organizations and ask them if they could help create learning experiences for students. School leaders can seek to make available health, social, mental health, counseling and other family services in the school and increase the number of adults in the building to provide care and guidance for students. They can generate a broad set of activities in which family and community members can participate and contribute their talents to the school (Ferguson 2003).

CHAPTER III

METHODOLOGY

The purpose of this quantitative study was to examine the implications of principals' leadership attributes (beliefs and practices) impact on academic success for English Language Learners on state accountability measures. Selected elementary and middle school principals in New York State (excluding New York City) from high performing Schools in Good Standing (SGS) and low performing Schools in Need of Improvement (SINI) participated in this study. Four areas of principal leadership were examined through the use of an on-line survey published by authors Smiley and Salsberry (2007): vision and leadership, school culture and the instructional program, school management, and school and community. All of the survey questions in each of the identified survey component areas have been aligned to one or more of the six Interstate School Leader Licensure Consortium standards. The survey entitled: "*Self-Assessment: Attributes of Effective Principals for ELLs*" first appeared in 2007 in Smiley and

Salberry's text *Effective Schooling for English Language Learners: What Elementary Principals Should Know and Do*. Permission from the authors for the use of the survey was secured by the researcher through an on-line communication.

Research Questions

Five basic questions framed this research study:

1. Are there differences in vision and leadership for principals in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?
2. Are there differences in the establishment of a responsive school culture in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?
3. Are there differences in the establishment of a research-based quality instructional program in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?
4. Are there differences in school management practices of principals in schools where students fail to meet the standards and those where students are reaching annual performance targets that are more significant or impactful than other practices?
5. Are there differences in family and community outreach practices of principals in schools where students fail to meet the standards and those where students are reaching annual performance targets that are more significant or impactful than other practices?

Design

The design selected for this study is quantitative. Quantitative research uses statistical methods and starts with the collection of data guided by research questions or hypothesis. Survey

research is the method of collecting data from respondents thought to be representative of some population using an instrument of closed structure of open-ended items (Creswell, 2002, p.4)

This study was constructed as survey research and analyzed for the presence of statistically significant results. The survey instrument used to explore beliefs and practices of principals of schools with an ELL population large enough to count in the state's accountability system (n=30) was an efficient way to collect relevant data on principal beliefs and practices contributing to the performance of ELLs on state accountability measures.

Population

“The population is a group of subjects that one wants to describe or about which one wants to generalize”, (Vogt, p. 239). The population that was identified for this survey includes public elementary and middle school principals in New York State schools outside of New York City. Time constraints and the complexity of navigating the International Review Board in New York City were reasons the researcher chose to not include New York City principals in the study.

Sample

“A sample is the target group in the population”, (Vogt, 2005, p. 283). For the purpose of this quantitative study, 148 ROS (Rest of State) principals were asked to respond to the survey. This includes principals in all other geographic regions of the state, from Western New York to Long Island. This is considered a purposive sample. A purposive sample is a “sample composed of subjects chosen deliberately (on purpose) by researchers usually because they think that certain characteristics are typical or representative of a population” (Vogt, 2005, p. 252).

The researcher sought from and verified through the State Education Department the names of the principals to which the survey was sent. These principals led schools that were

identified for subgroup performance because they had a least 30 ELLs in their buildings that were tested on state accountability measures during the 2010-2011 school year. Sixty-seven (67) schools were elementary schools with several configurations from PK – 6. Twenty-one (21) schools were elementary/middle schools (PK-7; PK-8 or K-8). The remaining sixty (60) schools were middle schools with the following possible configurations (Grades 5-6, Grades 5-7, Grades 5-8, Grades 6-8 or Grades 7-8).

The researcher mailed letters to the superintendents of the fifty-one school districts in which these 148 schools reside, informing them of the study, in early February, 2012. Principals of these schools received a mailed invitation to participate in the study. An electronic copy of the same letter served as the cover page of the survey, which was e-mailed to each principal in mid-February. Two reminder requests to complete the survey at intervals two weeks following the initial request and one week following the mid-point request were e-mailed to the potential principal participants. The survey closed in mid-March, 2012.

Instrumentation

The survey questionnaire used in this quantitative study appeared in the Smiley and Salsberry text *Effective Schooling for English Language Learners: What Elementary Principals should Know and Do* (2007). With e-mail permission from the publisher, Eye on Education, the survey became the instrument used to collect data for the purpose of this study. The instrument is divided into four sections: vision and leadership, positive school culture and instructional program, school management and school and community and was designed to assess leadership competencies with regard to the English Language Learner population, according to the authors. It is based on the most current research for understanding the infrastructure of successful ELL programs, addressing the facilitation of student achievement with a high level of accountability.

The instrument contains 35 scaled questions, divided accordingly: vision and leadership (questions 1-7); positive school culture and instructional program (questions 8-22); school management (questions 23-27); and school and community (questions 28-35). For the purpose of data examination, it made sense to the researcher to separate the questions that appeared in the second section of the survey for the purpose of analysis into two question sets – those dealing with school culture and those dealing specifically with instructional programming. Professional development was a theme that permeated questions in each of these survey sections.

Respondents were instructed to rate their implementation level using a 4 point scale: 1 – not achieved; 2 - beginning to achieve; 3 - partially achieved and 4 - fully achieved. Participants were asked to choose what best described their self-perceptions as to their level of competency, relative to the stem or statement.

The standard demographic data questions that appeared at the beginning of the survey and included questions related to school size, grade level configuration, number (ranges) of the ELL population, Title I status, accountability status, principals' years of experience as a school leader and years served in the current school as its principal and were developed by the researcher. Demographic questions were not optional; all other questions were optional, however, principals were encouraged to complete the survey in its entirety. Principal responses were uploaded to an on-line website www.surveygizmo.com. The study was anonymous.

Validity

According to Creswell (2009), the survey-type used in the collection of data from the identified principals is an intact existing instrument developed by someone else (Creswell, 2009, p. 149). In writing to the authors for a statement on the validity of the instrument, the researcher received the following response from author Trudy Salsberry:

Thank you for your interest in the text. I have asked my colleague to respond to the specifics of your question. My recollection is that she constructed the survey as a guide for discussion. It was not validated in a formal, statistical sense. The intent is that it would be used for self-assessment and discussion. (T. Salsberry, personal communication, April 16, 2012)

Internal validity is concerned with the degree of certainty that observed effects in an experiment are actually the result of the experimental treatment or condition (the cause), rather than intervening, extraneous or confounding variables. Internal validity is enhanced by increasing the control of these other variables, according to Creswell (Creswell, 2009, p. 135). In the case of the survey used for this study, the researcher relied on a fixed questionnaire that was administered the same way, word-for-word, for each respondent to obtain a reliable measure of response. Preceding the actual instrument was a letter that detailed the time that the survey would take, the length of time the survey would be available on-line, and instructions to the participants to respond to all eight questions in the demographic section but allowing for an opt-out provision for any question that they chose not to answer. Respondents were also told in the letter that they needed to do no additional research to participate.

Reliability

Reliability is defined as freedom from measurement or random error (Vogt, 2005, p. 274). Should the researcher conduct another survey (a repeated measurement), highly similar results should be realized. Given the fact that the survey was a commercially published instrument, aligned with the ISLLC standards, with each of the 35 questions based on research in the field on that topic, the researcher did not do a test pilot. The researcher conducted an analysis of the survey questions using Cronbach's alpha, dividing the questions as previously indicated

into four component areas: vision and leadership; school culture and the instructional program; school management; and school and community. Cronbach's alpha is a measure of internal consistency, that is, how closely related a set of items are as a group. Cronbach's alpha is not a statistical test; it is rather a coefficient of reliability (or consistency). A score of .70 or higher is generally acceptable to be reliable; the researcher's analysis of the data confirmed the reliability of the survey instrument.

Data Collection

In this study, quantitative data was collected through the use of an on-line survey and contained in a secure, password-protected website. The survey was anonymous. The responses in the survey instrument used were closed-ended. The demographic section of the survey did not require any participants to disclose personal (name) or professional (school/district) information. An analysis of the data was conducted by the researcher to make inferences about the population surveyed and to uncover answers to the survey's research questions.

Statistical Package for the Social Sciences (SPSS) v. 20 software was utilized for the purpose of statistical analysis on quantitative data collected for this research study. SPSS is a software program used for complex calculations to analyze numerical data. Developed by IBM, SPSS is a product that addresses the entire analytical process, from planning to data entry to analysis, reporting and deployment. This software supported the researcher in the analysis of survey data collected from the principal respondents.

Data Analysis Techniques

Vogt defines analysis as “the separation of a whole into its parts so as to study them; the study of the elements of the whole and their relationships (statistical)” (p. 8). This researcher used SPSS v.20, a popular computer program used for statistical analysis to analyze the data.

The research questions lend themselves to at least three types of statistical analysis: T-tests to look at the significance between two groups on the same variable of interest; ANOVA to be used with several independent variables and one dependent variable (used for prediction; identifies the best set of predictor variables); and descriptive statistics. Cronbach's alpha was also used to test the reliability of the survey instrument used in this study. Each of these analyses was used by the researcher.

Ethical Safeguards

The highest ethical standards were ensured in this study by the Sage Colleges' Institutional Review Board for Human Subjects. Participation in the survey was voluntary. Participant data, including district name, school name, principal identity and all e-mail addresses were destroyed at the conclusion of this study. Individual electronic response data was not linked to any individuals providing responses to the survey, which ensured the standard of anonymity. The summary data presented in this study is based on aggregate calculations and will be published accordingly. The disaggregated responses of participants will never be included in any research reports. In any report, the data will be presented only in the aggregate.

CHAPTER IV

PRESENTATION AND ANALYSIS OF DATA

This chapter presents data analysis organized around five research questions. The analysis of the data took into account such variables as general demographic data collected and principals' response to questions related to the establishment of a school vision, cultural leadership, instructional leadership, school management and school and community relationships for their English Language Learners. The data generated from this study can provide information to the field that can inform leadership decisions and practices to ensure that the ELL subgroup population of students is provided the supports necessary to meet performance goals and targets as identified by the New York State Department of Education.

Background of the Participants

A total of fifty-one (51) principals responded to the survey that was available to the one hundred and forty eight (148) potential participants for four weeks in February/March of 2012. Table 1 provides demographic summary details, including information from the principal respondents in response to eight questions.

Table 1

Demographic Summary Principal Respondents	Made AYP	Did not make AYP	Frequency	Percentage
Grade Configuration				
Elementary	14	12	26	52%
Middle School	2	11	13	25%
PK-8	2	10	12	23%
Total	18	33	51	
Demographic Profile				
Urban	11	24	35	69%
Suburban	7	9	16	31%
Rural	0	0	0	0%
Total	8	33	51	
Building Enrollment				
300 or less	0	0	0	0%
300 – 499	7	8	18	35%
500 or greater	11	25	33	65%
Total	18	33	51	
ELL Enrollment				
30 – 49	10	9	19	37%
50 – 99	7	11	18	35%
100 or greater	1	13	14	28%
Total	18	33	51	
Title I				
Yes	12	30	42	82%
No	6	3	9	18%
Total	18	33	51	
Accountability of Schools				
School in Good Standing	9	1	10	19%
SINI 1 or SINI 2	8	22	30	59%
Corrective Action	1	5	6	12%
Restructuring	0	3	3	6%
Persistently Low Achieving (PLA)	0	2	2	4%
Total	18	33	51	
Years Principal Respondent has been an Administrator				
0 – 3	2	8	10	20%
4 – 9	8	13	21	41%
10 – 14	5	9	14	27%
15+	3	3	6	12%
Total	18	33	51	
Years Principal Respondent has been Principal of Current School				
0 – 3	9	20	29	57%
4 – 9	6	11	17	33%
10 – 14	2	1	3	6%
15+	1	1	2	4%
Total	18	33	51	

Twenty-six respondents (51%) were principals of elementary schools; thirteen (25%) of the respondents were principals of middle schools and twelve respondents (24%) were principals in PK-8 or K-8 school configurations. Thirty-five respondents (69%) were principals of urban schools; sixteen respondents (31%) were suburban school principals. Fifteen school leaders (29%) were principals of schools with enrollments between 301-499 students; thirty-six principals (71%) led schools with 500 or more students in attendance.

Nineteen schools (37%) reported that their English Language Learner population was between 30 and 49 students. Eighteen schools (35%) reported an ELL population of between 50-99 students. Fourteen schools (28%) reported an ELL population of 100 or greater students. Forty-two schools (82%) are identified as Title I buildings; only nine principals (18%) who responded led non-Title I schools.

Ten school leaders (19% of the respondents) were principals of Schools in Good Standing (SGS); thirty principals (59%) led Schools in Need of Improvement (SINI I or SINI II); six principals (12%) were administrators in Corrective Action (CA) schools; three school principals (6%) identified their schools in Restructuring status and two school principal respondents labeled their schools as Persistently Low Achieving (PLA). Regarding accountability for ELL performance, eighteen principals (35%) reported that the English Language Learners did make their annual yearly performance targets (AYP); thirty-three principals (65%) reported that the ELLs did not make their AYP.

Reliability Analysis

The survey instrument contained 35 questions, divided accordingly: vision and leadership (questions 1-7), positive school culture and instructional program (questions 8-22), school management (questions 23-27), and school and community (questions 28-35), which

followed directly after the demographic section of the survey (9 questions). These items have 4 point scale responses (1 – not achieved; 2 - beginning to achieve; 3 - partially achieved and 4 - fully achieved) which measured respondents’ self-perceptions as to their level of competency, relative to the stem or statement. Reliability analyses were conducted to test the internal consistency of the items/variables using Cronbach’s Alpha. A score of 0.70 or higher is generally acceptable to be reliable. The specific results or findings are presented as follows in Table 2:

Table 2

Cronbach’s Alpha Reliability Statistics on Principals’ Perception Survey

Survey Section	N of Item	Cronbach’s Alpha
Vision and Leadership	7	.877
Cultural Leadership	8	.894
Instructional Leadership	7	.866
School Management	5	.816
School and Community	8	.938
All Questions	35	.968

Survey Analyses and Findings

Research Question 1

Are there differences in vision and leadership for principals in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?

Analysis of Variance (ANOVA) was used to determine whether there was a statistically different result in the responses of principals in schools where the English Language Learners made their annual yearly performance targets (n = 18) and those that did not make AYP (n =

33). ANOVA is a statistical method used to compare the means of more than two sets of data, to see if they are statistically different from each other. Specifically, it is a test of statistical significance of the differences among the mean scores of two or more groups on one or more variables or factors.

The primary concepts contained in the question stems in the **Vision and Leadership (VL)** section of the survey are as follows (VL is the acronym for Vision and Leadership to identify each of the seven questions in this section of the survey): VL 1 – program expectation for ELLs; VL 2 – communicating vision for ELLs to staff; VL 3 – knowledge of current research and bilingual training; VL 4 – understanding of pedagogical principles and advocacy; VL 5 – conversations about school improvement efforts and school reform; VL 6 – goal setting to improve outcomes for ELLs and VL 7 - advocacy so as to avoid discrimination and inequity.

Under the heading **ELL Accountability Status** in Table 3, the two groups of principal respondents was coded as follows: 1, identifies the principals whose schools did make AYP for their English Language Learners; 2, identifies the principals who failed to make AYP for the ELL subgroup. This same identification is used in Tables 3 through Table 7. Herein are the findings for Vision and Leadership (Table 3):

Table 3*Analysis of Variance (ANOVA) for ELL Accountability and Vision and Leadership*

Question	ELL Accountability Status	N	Mean	Standard Deviation	Standard Error Mean	Sig. (2 tailed)
VL1 Expectations	1	18	2.89	.676	.159	.919
	2	33	2.91	.678	.118	
VL 2 Communicate vision	1	18	3.11	.832	.196	.754
	2	33	3.18	.727	.127	
VL 3 Researched	1	18	1.94	.938	.221	.333
	2	33	2.24	1.091	.190	
VL 4 Pedagogy	1	18	2.39	.979	.231	.387
	2	33	2.64	.962	.168	
VL 5 Reform conversations	1	18	3.33	.686	.162	.110
	2	33	3.00	.707	.123	
VL 6 Goal setting	1	18	3.11	.758	.179	.207
	2	33	2.85	.667	.116	
VL 7 Advocacy	1	18	3.56	.616	.145	.097
	2	33	3.22	.706	.125	

For each question in the survey section entitled Vision and Leadership, the p value was greater than 0.05. Therefore, there were no statistically significant differences between the vision and leadership responses for principals in schools where ELLs failed to meet the standards and those where students were reaching their annually yearly performance targets on State English Language Arts and mathematics tests.

Research Question 2

Are there differences in the establishment of a responsive school culture in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?

Unlike the findings in the first section of the survey, Vision and Leadership, where there were no statistically significant differences in the responses of principals from schools that failed to meet the standards and those that met the standards as determined by ELLs achievement of AYP, there were several questions in the second section of the survey Positive School Culture and Instructional Program that did yield a statistically significant response result. The fifteen questions in this section of the survey were grouped into two categories - Cultural Leadership (8 questions) and Instructional Leadership (7 questions). The **Cultural Leadership (CL)** questions focused on these primary issues: CL 1- keeping language and culture on the reform agenda; CL 2 – practicing shared leadership; CL 3 – setting high expectations for all students and keeping ELLs a priority; CL 4 – creating a school climate that values diversity; CL 5 – restructuring the school to be a PLC; CL 6 - promoting staff training to serve ELLs more effectively; CL 7 – creating a climate of professional growth and accountability; and CL 8 – being a highly visible presence both in the classroom to provide teachers feedback on their teaching.

The independent t-test compares the means between two unrelated groups on the same continuous, dependent variable (Vogt, p. 329). A t-test is a test of statistical significance; in the case of this study, the t-test identified for the researcher the mean differences in the two groups of principals (those who led schools that made AYP and those that missed AYP for the ELL subgroup). The dependent variable was the accountability status of ELL performance on state accountability measures. Using a t-test to analyze the data relative to these questions, the findings are as follows in Table 4:

Table 4*T-test for ELL Accountability and Establishing a Responsive School Culture*

Question	ELL Accountability Status	N	Mean	Standard Deviation	Standard Error Mean	Sig. (2 tailed)
CL1 Reform agenda	1	18	3.11	.832	.196	0.371
	2	32	2.91	.734	.130	
CL 2 Shared leadership	1	18	3.89	.323	.076	0.000
	2	33	3.09	.765	.133	
CL 3 Expectations	1	18	3.39	.608	.143	0.416
	2	32	3.22	.751	.133	
CL 4 School climate	1	18	3.44	.511	.121	0.032
	2	32	3.03	.695	.123	
CL 5 PLC	1	18	3.17	.786	.185	0.144
	2	32	2.81	.821	.145	
CL 6 Staff training	1	18	3.33	.594	.140	0.010
	2	33	2.79	.740	.129	
CL 7 Accountability	1	18	3.33	.594	.140	0.003
	2	33	2.70	.728	.127	
CL 8 Visibility	1	18	3.67	.594	.140	0.005
	2	32	3.09	.689	.122	

There is a statistically significant difference in the responses of principals in schools where the English Language Learners met their annual yearly performance targets and those who failed to meet the target in five of the eight questions posed. The areas of engaging in shared leadership (CL 2, $p = .001$); creating a school climate that values cultural and linguistic diversity (CL 4, $p = .032$) professional development to staff to better serve the ELLs (CL 6, $p = .010$);

creating a climate of accountability (CL 7, $p = .003$); and providing feedback to teachers on their practice to assure that quality instruction is provided the English Language Learners by being visible in both the school and in individual classrooms (CL 8, $p = .005$).

The mean differences identified between the two principal respondent groups relative to the five questions in Table 4 are as follows: For CL 2, the mean for the principal group who made AYP is 3.89; for the principal respondents who failed to meet the standard, the mean is 3.09. For CL 4, the mean for the principal group who made AYP is 3.44; for the principal respondents who failed to meet the standard, the mean is 3.03. For CL 6, the mean for the principal group who made AYP is 3.33; for the principal respondents who failed to meet the standard, the mean is 2.79. For CL 7, the mean for the principal group who made AYP is 3.33; for the principal respondents who failed to meet the standard, the mean is 2.70. For CL 8, the mean for the principal group who made AYP is 3.67; for the principal respondents who failed to meet the standard, the mean is 3.09. In all cases, the mean is higher for principals whose ELLs made AYP for each of the five questions in this section of the survey. All mean scores for principals whose ELLs made AYP are in the mid to high three (3) range, indicative of the fact that principal respondents believed that they had partially or fully achieved the goal outlined in the questions. In two of the questions, CL 6 and CL 7, when asked about staff training and establishing a culture of accountability in their schools, principals who failed to make AYP for the ELLs responded to these goals in the two (2), beginning to achieve range.

Research Question 3

Are there differences in the establishment of a research-based quality instructional program in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?

The seven questions in this section of the survey are focused on the **Instructional Leadership (IL)** of principals. Specifically, IL 1 addresses researching effective programs and establishing and implementation timeline. IL 2 speaks to the importance of bi-literacy development for content acquisition; IL 3 is concerned with a principal's knowledge of instructional strategies and monitoring effective teaching. IL 4 concerns principals' working knowledge of trends in effective professional development. Questions IL 5 and IL 6 focuses on data collection on the ELLs that inform instruction and the monitoring of ELLs language and academic development. Finally, IL 7 is the principals' responsibility to goal set with teachers and to provide feedback in goal attainment. Using a t-test to analyze the data relative to these questions, the findings are as follows for Instructional Leadership in Table 5:

Table 5*T -test for ELL Accountability and Establishing Quality Instructional Programming*

Question	ELL Accountability Status	N	Mean	Standard Deviation	Standard Error Mean	Sig. (2 tailed)
IL 1 Researching programs	1	18	2.83	.924	.218	0.659
	2	32	2.94	.716	.127	
IL 2 Bi-literacy development	1	18	2.78	.732	.173	0.226
	2	32	2.47	.915	.162	
IL 3 Knowledge/Monitoring	1	18	2.89	.832	.196	0.331
	2	32	2.66	.787	.139	
IL 4 Trends in PD	1	18	3.25	.577	.144	0.179
	2	33	3.00	.612	.107	
IL 5 Data collection on ELLs	1	18	3.28	.669	.158	0.026
	2	33	2.85	.619	.108	
IL 6 Monitor language academic development	1	18	3.06	.802	.189	0.284
	2	32	2.81	.738	.130	
IL 7 Feedback on goals	1	18	3.28	.669	.158	0.028
	2	29	2.83	.658	.122	

There is a statistically significant difference in the responses of principals in schools where the English Language Learners met their annual yearly performance targets and those who failed to meet the target in two (IL 5 and IL 7) of the seven questions in the Instructional Leadership section of the survey. IL 5 ($p = .026$) addresses the procedures for early data collection on the ELLs to make informed instructional decisions and IL 7 ($p = .028$) addresses principal visibility to provide feedback to teachers on practice.

The mean differences identified between the two principal respondent groups relative to the two questions in Table 5 are: For IL 5, the mean for the principal group who made AYP is 3.28; for the principal respondents who failed to meet the standard, the mean is 2.85. For IL 7, the mean for the principal group who made AYP is 3.28; for the principal respondents who failed to meet the standard, the mean is 2.83. Principal respondents whose ELLs made AYP had higher mean scores in the three (3) (partially achieved) range. Principals who did not make AYP for their ELLs had mean scores in the two (2) beginning to achieve range.

Research Question 4

Are there differences in school management practices of principals in schools where students fail to meet the standards and those where students are reaching annual performance targets?

In order to address this question, it was important to consider the accountability status for the English Language Learners in the schools and to identify the five management questions that comprise the **School Management (SM)** section of the survey. SM 1 focuses on the principals' influence on teaching and learning in the organization which leads to change that promotes equity and excellence for the ELLs. SM 2 addresses recruitment of talented and dedicated staff, SM 3 addresses the hiring of bilingual staff and those who have a similar cultural background to the students they serve. Question SM 4 asks principals about scheduling time for curriculum and lesson design. The management practice identified in SM 5 is budgeting for appropriate resources for instruction as well as for contracted professional development. Using Analysis of Variance (ANOVA), the following data is presented in Table 6:

Table 6*Analysis of Variance (ANOVA) for ELL Accountability and School Management*

Question	ELL Accountability Status	N	Mean	Standard Deviation	Standard Error Mean	Sig. (2 tailed)
SM 1 Equity and excellence	1	18	3.56	.511	.121	0.002
	2	33	3.03	.585	.102	
SM2 Recruitment	1	18	3.28	.895	.211	0.027
	2	32	2.66	.937	.166	
SM 3 Bilingual hires	1	18	2.67	1.138	.268	0.100
	2	32	2.13	1.070	.189	
SM 4 Scheduling for planning	1	18	3.22	.878	.207	0.107
	2	32	2.84	.723	.128	
SM 5 Acquiring resources	1	18	3.50	.707	.167	0.003
	2	33	2.79	.820	.143	

In the area of school management, there were three questions that yielded statistically significant differences in the respondents. The focus of question SM 1 ($p = .002$) is influencing instruction to ensure equity and excellence for the ELLs. Question SM 2 ($p = .027$) addresses the hiring and retention of talented and dedicated staff. Question SM 5 ($p = .003$) addresses the allocation of funding to appropriate instructional resources and materials for the ELLs.

The mean differences identified between the two principal respondent groups relative to the three questions in Table 6 are as follows: For SM 1, the mean for the principal group who made AYP is 3.56; for the principal respondents who failed to meet the standard, the mean is 3.03. For SM 2, the mean for the principal group who made AYP is 3.28; for the principal respondents who failed to meet the standard, the mean is 2.66. For SM 5, the mean for the

principal group who made AYP is 3.50; for the principal respondents who failed to meet the standard, the mean is 2.79. In all cases, the mean score is higher for principals that made AYP for their ELLs; in the case of questions SM 2 and SM 5, recruiting and retaining teachers and acquiring resources for the ELL classrooms, principal mean responses from schools where ELLs failed to meet AYP was in the two (2) beginning to achieve range.

Research Question 5

Are there differences in family and community outreach practices of principals in schools where students fail to meet the standards and those where students are reaching annual performance targets that are more significant or impactful than other practices?

In order to address this question, it was important to consider the accountability status for the English Language Learners in the schools and to identify the eight questions that comprise the School and Community (SC) section of the survey. SC 1 addressed outreach to families and the provision of translators to assist families to promote linguistic equity. SC 2 ensures that principals are sending communications to families in the appropriate native language. Questions SC 3 and SC 4 focus on the principals' encouragement to families to engage in literacy-rich activities at home and to extend the child's primary language at home. Question SC 5 focuses on the principals' ability to solicit bilingual parents and families as well as community volunteers in the ELL children's schooling. A similar focus on engagement is reflected in Question SC 6 in the principals' engagement of minority parents in the decision-making process. Questions SC 7 and SC 8 have some similarity; Question 7 focuses on knowledge of the community and being a visible presence in it and 8 involves advocacy for the language minorities in community as well as school forums. Using Analysis of Variance (ANOVA), the following data is presented in Table 7:

Table 7*Analysis of Variance (ANOVA) for ELL Accountability and School and Community*

Question	ELL Accountability Status	N	Mean	Standard Deviation	Standard Error Mean	Sig. (2 tailed)
SC1 Linguistic equity	1	18	2.72	1.127	.266	0.355
	2	32	2.44	.982	.174	
SC 2 Native language	1	18	2.83	.924	.218	0.854
	2	32	2.78	.975	.172	
SC 3 Literacy activities	1	18	2.89	1.079	.254	0.497
	2	32	2.72	.683	.121	
SC 4 Native language	1	18	2.56	1.042	.246	0.244
	2	31	2.23	.884	.159	
SC 5 Bilingual engagement	1	18	2.83	.924	.218	0.146
	2	31	2.42	.958	.172	
SC 6 SDM inclusive	1	18	2.50	.924	.218	0.426
	2	32	2.28	.924	.163	
SC 7 Community presence	1	18	3.06	.938	.221	0.155
	2	32	2.66	.937	.166	
SC 8 Advocacy for families	1	18	3.06	.938	.221	0.217
	2	32	2.75	.762	.135	

It is evident that for each question in the survey section entitled School and Community, the p value was greater than 0.05. Table 7 shows that there are no statistically significant differences between the parent, family and community outreach for principals in schools where

ELLs fail to meet the standards and those where students are reaching their annually yearly performance targets on State English Language Arts and mathematics tests.

CHAPTER V

FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

This chapter includes the summary of findings, conclusions, and recommendations related to the research questions established at the onset of the study, as well as a presentation of the implications that emerged from the analysis of data. In addition, noteworthy conclusions and relevant recommendations for practicing principals as well as future principals of schools with a significant number (n) of English Language Learners to be counted in the state's accountability formula are presented. Finally, recommendations for future research are suggested.

The purpose of this quantitative study was to examine the implications of principals' leadership attributes (beliefs and practices) that impact academic success for English Language Learners on state accountability measures. The research was conducted to determine which attributes create a greater pathway to school success for this population of students. Knowledge of what is working well and what needs to be changed can and will provide valuable information to principals whose schools are being identified as schools in good standing (SGS) or schools in need of improvement (SINI) in the state's current accountability system for the ELLs.

During the time this study was being conducted, although subsequent to the establishment of the methodology and data collection, New York State submitted its application to the United States Department of Education for an ESEA (Elementary and Secondary Education Act) Waiver. ESEA is synonymous with NCLB. The Waiver will re-calculate the designations of schools in the accountability system. Labels such as SINI (School in Need of Improvement) and CA (Corrective Action) will sunset at the end of the 2012 school year. These identifiers will be replaced with new terminology. Focus Schools will include schools whose

subgroups of students recently fail to meet the standards after state test administrations. Five percent of NYS schools will receive this designation. Priority Schools will include schools whose subgroups fail to meet the standards over time, or have a history of chronic failure. Ten percent will be identified as Focus Schools. Districts with several schools that have been in improvement status for not having made AYP and/or that have previously been in PLA (persistently low achieving) status will be named Focus Districts (NYSED, *ESEA Waiver*, 2012).

Schools will be given an opportunity to show growth based on a value-added formula rather than to be judged on one measure at one point in time, as is the case now with a solo administration annually of a state test in ELA or mathematics. According to the USDE, "This flexibility rewards states that are showing the courage to raise their expectations in their academic standards." The USDE has stated that this process is "not a pass on accountability, as there will be a high bar for states seeking flexibility within the law", (New York State Education Department, 2012). States that do not apply for the Waiver will have to comply with the current No Child Left Behind (NCLB) requirements. *Subgroup accountability* will still be in the forefront of the waiver, as it is in the current law.

Research Questions

For this study, the following five research questions were asked:

1. Are there differences in vision and leadership for principals in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?
2. Are there differences in the establishment of a responsive school culture for principals in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?

3. Are there differences in the establishment of a research-based quality instructional program in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets?
4. Are there differences in school management practices of principals in schools where students fail to meet the standards and those where students are reaching annual performance targets that are more significant or impactful than other practices?
5. Are there differences in family and community outreach practices of principals in schools where students fail to meet the standards and those where students are reaching annual performance targets that are more significant or impactful than other practices?

In conducting the analysis of the data, the five research questions had as the dependent variable *accountability for ELLs*. Each of the survey questions focused on principal beliefs and practices in the component areas of vision and leadership, cultural leadership, instructional leadership, school management and school and community.

Findings

Research Question 1 investigated differences in the vision and leadership of principals of schools that either met or failed to meet their AYP targets. There were no statistically significant differences in the responses about vision and leadership for principals in schools where ELLs fail to meet the standards and those where students are reaching their annual yearly performance targets on NYS English language arts and mathematics tests.

Research Question 2 explored the differences in the establishment of a responsive school culture for principals in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets. Unlike the vision and leadership component of the survey, there was a statistically significant difference between the two groups of principal

respondents. These differences were reflected in how principals responded to five of the eight questions in the cultural leadership component of the survey.

Specifically, the two groups of principals differed significantly in their responses to questions about practicing shared leadership CL 2 ($p = .000$), creating a school climate that values diversity CL 4 ($p = .032$), providing training for the teachers of ELLs CL 6 ($p = .010$), accountability for ELL progress CL 7 ($p = .003$) and providing feedback to teachers and being a visible instructional leader CL 8 ($p = .005$).

Research Question 3 asked if there are differences in the establishment of a research-based quality instructional program in schools where ELLs fail to meet the standards and those where students are reaching annual performance targets. The survey results yielded this outcome: responses to instructional leadership questions IL 5 and IL 7 indicated a statistically significant difference between the responses of the principals from schools in good standing and those in improvement status. Specifically, IL 5 ($p = .026$) focused on the need to use data to inform decisions around the ELLs instructional needs, and IL 7 ($p = .028$), addressed goal setting with professional school staff.

Research Question 4 explored the differences in the school management practices for principals in schools where ELLs fail to meet the standards and those where students were reaching annual performance targets. In three of the five questions, a statistically significant difference was evident in the data between the two groups of respondents. Question SM 1 ($p = .002$) focused on the principals' influence on teaching and learning in the organization which leads to change that promotes equity and excellence for the ELLs. Question SM 2 ($p = .027$) addressed recruitment and retention of talented and dedicated staff and question SM 5 ($p = .003$) addressed budgeting for appropriate resources for instruction, as well as for contracted

professional development. The research supports effective principals of schools with English Language Learners make efforts to focus on these areas.

Research Question 5 asked if there were differences in the responses of the principal groups that made their AYP for ELLs or failed to make annual yearly progress related to school and community. For each question in this survey section, the p value was greater than 0.05, therefore, there were no statistically significant differences in the principals' outreach practices to families and community for principals in schools where ELLs fail to meet the standards and those where students are reaching their annually yearly performance targets on NYS English language arts and mathematics tests.

Conclusions

An analysis of the quantitative research findings coupled with the information gleaned from the literature review inform the following conclusions about the study. The researcher learned that there were no statistically significant differences in the vision and leadership between principals whose schools made their performance targets (AYP) and those that did not, as evidenced by the survey responses. This was true, as well, in the component area of school and community outreach.

Vision and leadership connote a broad and comprehensive core foundation for principal practice. The data findings were surprising and contrary to a logical supposition based on evidence in the literature review for Research Question 1, namely, that there would be a statistically significant difference in the principal responses from the two groups. The researcher learned that effective leaders do establish outcomes for the ELLs in their schools (Valverde & Armendariz, 1999), communicate that vision to all staff (Valverde & Armendariz, 1999), research current best practice and confidently share that information with their staffs (Lucas, et

al, 1990), advocate for appropriate programming for the ELLs (Genessee, 1999), conduct meaningful exchanges where the question “Who benefits from what goes on here?” is answered (Rollow & Bryk, 1993), create norms for continuous school improvement (Garcia, 1987, p. 6; Leithwood, 1994; Meyer, 1984; Murphy & Louis, 1994) and not tolerate discrimination or inequity (Bishop, Foster & Jubala, 1993; Lipsky & Gartner, 1997).

Although the findings indicated that there were no statistically significant differences in the respondents’ answers to the seven questions in this section of the survey, the literature supports that there is a critical need for school leaders to establish a vision, communicate that vision to all stakeholders involved in the education, socialization, acclimation, and acculturation of this student subgroup, and ensure that the vision is understood, embraced and articulated in both school and community settings. It cannot be a solo and unspoken vision. Reeves and Allen (2009) explain it this way:

If “gold” represents the vision,” platinum” represents the implementation. The “platinum” rule suggests that we should do better for others than we would expect them to do for us. Although many leadership theories espouse the virtues of shared vision, vision without implementation is counterproductive. It not only fails to achieve the intended objective but also engenders cynicism and distrust. (p. 57)

Repeated in the literature is the theme that principals must commit to not only establish a vision for their schools, but must work tirelessly to ensure that internal staff ascribe to the beliefs that drive the vision and can articulate this shared understanding to any stakeholder group within the school and within the community at-large. Staff should always reflect on ideas as they relate to the common goals and make decisions for students based on the direction set for the school.

Reform conversations about changing practices and protocols should drive every faculty and committee agenda.

On close examination of the questions in this component of the survey, the vision statements were more *belief* than *practice* or *action* statements; more about theoretical axiom than practical application of a vision for ELLs. Taking language from the question stems, *understanding outcomes for ELLs, researching pedagogical practices for ELLs, having a thorough understanding of principles for ELLs, creating norms for school improvement, and establishing goals for the ELLs* have much to do with accruing the knowledge to create and craft a vision, which is a very different skill from implementing and executing a school vision for the English Language Learners. If there were more queries about *mobilizing* the thinking and *effectuating* the vision, the data outcome might have been different between the two principal groups.

Additionally, this was the only survey section where the mean for principals of schools that made their AYP for the ELLs was lower than the mean for principals in schools that failed to meet the performance target. This was the case in four questions on the Vision and Leadership component in the following areas: having high expectations for ELL success, communicating a school-wide vision to motivate all to achieve outcomes, being current in recent research practices and in understanding pedagogical principals. Quantitative research does not accommodate face-to-face interviews, which might have yielded information as to why questions were answered in this way. Do the principals whose ELLs are not meeting the target have more structures in place for ELL teaching and learning? Do they have a fewer ELL count? Do they have a larger ELL count which has caused them to develop strategies to focus on subgroup performance? Have they committed to best practice staff development in ELL pedagogy? The answers to these

questions remain unknown; qualitative research would afford opportunity to have an in-depth investigation of the “story behind the numbers”.

The second research question examined differences in the establishment of a responsive school culture between the two groups of principal respondents. The researcher learned that the greatest percentage (63%) of questions with statistically significant differences in responses from the two principal groups were located in the Cultural Leadership section of the survey. Many of the questions in this section focus on the establishment of an environment where teachers feel supported in their teaching; the presence of a principal in classrooms to observe ELL instruction and to provide staff with feedback to help them grow as professionals is an underlying theme in this component area. This principal behavior matters to all teachers, but is especially important to teachers of ELLs, who work to teach language, literacy and core content subjects and concurrently create a culturally welcoming space for students to learn.

The literature review supported the fact that successful principals led collaboratively, practiced shared or distributed leadership and created a leadership team that collectively assumed roles and responsibilities to support the English Language Learners. The most interesting finding was the statistically significant difference ($p = .000$) between the principals who made AYP for the ELLs and those that failed to reach their performance target. Much of the research literature read for this study focused on the establishment of a team approach to most effectively meet the needs of the ELL subgroup of learners. Fullan (2003) contends that “Public schools in diverse multicultural societies must include citizenship and character education supported by leaders who believe in changing context and changing behaviors. The principal with a moral imperative can help realize it only by developing ‘combined forces of shared leadership’ in others to make a difference in the system” (p. xv). The data suggest that principals in successful

schools understand the fact that shared leadership is a means to ELL success in school. This finding, coupled with literature on change, further suggests that shifts in authoritative top-down leadership should be replaced with collaborative, democratic leadership, where shared responsibility for student success for all subgroups is operationalized.

Louis, Leithwood, Anderson and Wahlstrom (2010) focused their most recent research on the concept and importance of shared leadership. They suggest that the principal who is able to engage staff in the collective goal of improving achievement results for all students, gains respect for stakeholder involvement and can move an organization to a new level of academic solvency. In the 2011 Wallace Foundation study entitled: *The School Principal as Leader: Guiding Schools to Better Teaching and Learning*, one of the five functions of effective principals is to cultivate leadership in others. Shaping a vision of academic success for all students involves leadership from principals, influential teachers, staff teams and others. The researchers write:

Principals may be relieved to find out that their authority does not wane as others waxes. Clearly, school leadership is not a zero-sum game. Principals have the most influence on decisions; they do not lose influence as others gain influence. The higher performance of schools might be explained as a consequence of the greater access they have to collective knowledge and wisdom embedded within their communities. (p. 7)

Lucas, 1990 and 1992, Berman, et al, 1995, August & Hakuta, 1997 and Villareal, 2001, write extensively about the importance of the principal as visible instructional leaders. They describe principals as administrators who provide professional development opportunities for teachers that are closely associated with instructional design and current methodology. August

and Hakuta (1997) support a similar idea. They claim: “One important way to raise teacher expectations is to raise student achievement by helping teachers acquire the skills and knowledge they need to be more successful with students, rather than exhorting teachers to raise their expectations” (p.347). Villareal identifies these areas as critical for principals of schools with population of ELLs:

The fact that successful schools for English Language Learners require some degree of collaborative planning presents a challenge for principals. Experience has shown that, although learning communities exist in most schools, the benefits of communities that were formed with some trepidation are minimal. Principals must face this challenge by allowing time for groups of teachers to define the role of the committee and its members and to establish rules that support partnerships. Principals must set the example, provide ample opportunities for communities to form, celebrate successes of communities, provide support to fledgling ones and guard the concept constantly. (p. 3)

School-based professional development that centers on English language literacy must include planning for purposeful talk aligned to purpose and standards; creating academic discourse, which includes scaffolding language to connect with previous knowledge, teaching routines of talk and attending to physical room arrangements; managing academic discourse through student grouping and collaborative activities; and most importantly assessing academic language development continuously and addressing identified needs are the recommendations of several researchers referenced in this study. This model, along with implementation of a response to intervention approach that recognizes the importance of providing appropriate

assessments and differentiated support, represents a system-wide approach and commitment to support the highest expectations for every child, including the English Language Learners.

There are many core values inherent to the questions involving cultural leadership. Principal respondents had to consider matters of personal character and professional integrity as they decided the degree to which they advocate for ELLs, support educational equity and excellence, value cultural diversity, promote staff proficiency, and devote time to observation and professional conversation about student development. The fact that the majority of principal responses indicated a statistically significant difference in response suggests that integral to the success of the principal is what Fullan (2003) calls the moral imperative. Fullan states, “Moral leadership can reinvent the principalship and bring about large-scale school improvement by challenging all who work in education to rethink the critical role of the principal as school leader in the current era of accountability” (p. 3).

The literature reflected that effective principals created a climate of inclusiveness in their buildings. They required that staff be accountable for all students, including all student subgroups. Progress monitoring was important task for these school leaders for proper instructional planning and programming. Visiting classrooms routinely and making time to provide feedback to teachers on practice was a necessary ingredient in ELL success and professional development was identified as the element that could strengthen teacher practice and raise student achievement.

The data acquired in this study indicated that principals of schools that were in good standing (SGS) in the accountability system are principals, evidenced by the data, who ascribe to these practices. The data did not surprise the researcher as the literature read for the study supported these leadership behaviors. Establishing a culture that values and embraces diversity

is requisite; this was also reflected in the data from principal respondents whose schools were in good standing in the accountability system. The data finding may have been different if the creation of a culturally responsive environment was present in all schools that serve the ELL population.

In the component of instructional leadership, two areas surfaced with statistically significant differences in the two respondent groups, namely, early data collection on ELLs and feedback on goal attainment for teachers. Much of the literature supported the importance of keeping ELLs in the forefront of the reform agenda, which includes constant progress monitoring of the ELLs after initial placement for services. Changes to the Annual Professional Performance Review process will ensure that these professional conversations around student achievement and student growth will occur in all schools at all instructional levels beginning in the 2012-13 school year. In addition, professional conversation around teacher practices is an area that has moved to the forefront of the Regents' Reform Agenda, introduced in Chapter 1.

Through the APPR process, teachers will be evaluated not only on their performance in the classroom (principal observations), but on student growth as measured by standardized assessment. Teachers will be required to have goal setting conferences with their principals, converse about class composition, subgroup performance history, planned assessment protocols, and expected growth measures at the onset and throughout the course of each school year. If the same survey used in this study was conducted a year hence, once these goal setting and goal exit conferences are normative principal practices, the data result may indeed be different from current findings. This would not be a surprising finding because the APPR mandate will force conversations about practice, and more so, will require that teachers pre and posttest students and

closely monitor their progress to move them on a trajectory of progress. This will be especially beneficial for the ELLs.

Schmoker (1999) identified the combination of three concepts that constitute the foundation for positive improvement results: meaningful teamwork; clear, measurable goals; and the regular collection and analysis of performance data. Principals must lead their school through the goal-setting process in which student achievement data is analyzed, improvement areas are identified and actions for change are initiated. This process involves working collaboratively with staff and school community to identify discrepancies between current and desired outcomes, to set and prioritize goals to help close the gap, to develop improvement and monitoring strategies aimed at accomplishing the goals, and to communicate goals and change efforts to the entire school community. Principals must also ensure that staff development needs are identified in alignment with school improvement priorities and that these needs are addressed with appropriate professional learning opportunities.

Educational leaders promoting an inclusive vision understand that they must attend to the margins, students who traditionally are separated out into “special” programs; uncategorized, unlabeled, yet unsuccessful students in the regular classroom; students who come from families that do not speak English; as well as high performing students who push the margins in the other direction. As described by Burrello, Lashley & Beatty (2001):

These students present educators with a grand opportunity to create new learning for themselves and examine their invitation to learning for all students. They are the engines of reform. These students constantly challenge the equilibrium and boundaries of the classroom and their diversity calls out for the school to change. Frequent assessment is part of this change. (p. 2)

The importance of the principal's role as an instructional leader and the direct relationship on changing instructional practice to improve student performance has been researched extensively (Leithwood, 1994). Leithwood describes instructional leadership as a series of behaviors that are designed to affect classroom instruction. In this environment, principals are responsible for informing teachers about new educational strategies, technologies and tools that apply to effective instruction. Principals must also assist teachers in critiquing these tools to determine their applicability to the classroom (Whitaker, 1997).

Although teachers have an undeniably large influence on student results, they are able to maximize that influence only when they are supported by school and systems leaders who give the time, the professional learning opportunities, and the respect that are essential for effective teaching. This begins with the process of feedback to support instruction.

In the school management component of the survey, what was most intriguing to the researcher was the statistically significant difference in school management question one (SM 1) with a ($p = .002$), “influencing the organization, examining the impact of programs, and promoting both equity and excellence for ELL students”. A similar question in the vision and leadership section yielded no differences that were significant between the two principal groups. This might be an example, as the literature indicated, that *formulating* and *possessing* a vision for equity and excellence is very different from *orchestrating* or *effectuating* the vision.

This is a significant finding that strongly suggests a conclusion that principals of schools with subgroups of students such as the ELLs may not have been provided the professional development on conducting formalized Program Reviews to assess the efficacy of programming against an exemplar. Leadership training on reviewing curriculum and instruction (what we teach and how we teach), resources (instructional materials as well as use of instructional

personnel), and assessment practices (how we measure student learning) may not be in the principals' repertoires. Additionally, training on being able to objectively present findings to school personnel, district office, the greater community and the Board of Education and to have courageous conversations around the need to change may also be missing from principals' strategy banks.

Hiring practices and the budgeting for the allocation of resources, depending on the district, may be a central office function rather than a site-based function. If either of these areas falls within the purview of the principals, a conclusion drawn is that professional development might be needed for principals in hiring and retaining of staff and managing resources equitably to ensure that ELL students are impacted favorably from budgetary decisions.

Principals strengthen school culture when they clearly and consistently articulate high expectations for all students, including subgroups that are too often marginalized and blamed for schools not making adequate yearly progress. Effective principals recruit aggressively and then streamline the hiring process so that new teachers are quickly brought on board and have a chance to settle in before the school year begins. After new teachers are hired, effective principals of ELLs make sure to place them in their areas of expertise and licensure, provide them with adequate resources to meet their needs, and assign them only limited extra duties and responsibilities to optimize their chance of success.

These principals play a significant role in promoting new teachers' development. They provide formative assessment by regularly visiting classrooms, reviewing lesson plans, and providing immediate feedback to their new teachers. They clearly express performance expectations, help new teachers set reasonable goals, and routinely engage in "pedagogical talk" with their teachers. During the summative evaluation process, effective principals communicate

their expectations clearly, focus their observations around the new teacher's explicit needs, and approach the process as trusted colleagues (Baptiste, 1999; August & Hakuta, 1997; Lucas, 1993; Milk, Mercado & Sapiens, 1992).

Finally, in the area of School and Community, although the findings indicated that there were no significantly significant differences in the respondents' answers to the eight questions in this section of the survey, the literature supports that there is a critical need for school leaders to foster relationships with parents and families, engage them in extended day activities such as reading to their children and building native language skills, invite parents to be integral members of the school community and to serve in leadership roles and to publicly advocate for the ELLs in various forums to communicate the idea that ELLs enhance and enrich the lives of all students in the schools.

Parental involvement in school can lead to increased academic performance and positive social outcomes for children. In order to effectively reach all parents, it is important that schools develop culturally sensitive and diverse outreach strategies. As the immigrant population in this country continues to grow, such issues continue to become increasingly important.

The changing demographics in schools mandate that teachers acquire new skills to successfully negotiate with parents who have different cultural assumptions and expectations from schools and teachers. Chavez (2003) wrote that involving ELL parents in the schools must go beyond more than meeting to share information "The process must respect and welcome what families perceive to be valid educational and social needs. Educators must provide forums for dialogue and genuine listening opportunity to families to address parents' concerns", (p. 1).

Valverde and Armendariz (1999) conducted research in the areas of bilingual education and discussed the role that building principals must take in engaging families in the schooling of their language-minority children. They claim:

Administrators must develop and communicate a clear vision of program expectations to teachers and especially to the parents of the students in order to foster bilingualism, academic achievement and cultural pluralism in the schools. Parent input on program implementation and organization will increase its effectiveness. (p. 9).

Delgado-Gaitan (1999) believes that schools should be more proactive in establishing connections with their students' homes. Different ways of bringing parents to schools or bringing schools to the homes must be explored and innovative and creative initiatives must be tried. They state:

Neither schools nor the school districts as a whole view parent involvement as a priority because they have no real incentives to involve parents. School leaders must view the effort as cost effective and fund parent education as well as teacher-parent activities. (p. 32)

Villareal adds that the climate that surrounds English Language Learners must be positive and inviting for teachers, students and their families. He focuses on schools where principals begin the school year by introducing the ELLs by the languages they speak and the part of the world from which they had lived before coming to America. The message that "We value diversity" resonates in all meetings in all venues with the school and the greater community (p. 2). This celebration of diversity may signal families that they are welcome to become members of the principal's leadership team in setting the course for quality schooling for their children.

Recommendations

Recommendations for practice.

The growing number of students who are entering schools across the United States and in New York State who do not speak English as their first language has brought the issue of educating these students to the forefront of discussions in education. Because the requirements of NCLB have made schools accountable for subgroup performance, the achievement of the ELLs is on the state's reform agenda. Educators are being challenged to prepare these learners with the knowledge and skills to become proficient in the English language while also providing them a high-quality education. The role of the principal is critically important in establishing a vision for their schools, a culture of inclusiveness, and an appropriate instructional model for the ELLs. Principals are called to put systems and structures in place to effectively manage their schools, to advocate for their families and to engage them in their children's learning. Schools where ELLs are demonstrating success are led by principals that understand this work.

By increasing the accountability of states, districts, and schools for the educational success of ELL students, NCLB has focused attention on the educational needs of this subgroup. "Shining a spotlight on ELL students has resulted in improvement not only of the services provided to these students but also of the educational strategies employed to educate them", (Clewell, 2007, p. 41). Cosentino de Cohen, C.; Deterding, N.; & Clewell, B.C. (2005) state:

This enhanced approach is manifested through a new focus on aligning ELL instruction and assessment with state content standards; increased emphasis on literacy and math; enhanced efforts to train ESL teachers in effective instructional strategies; exposure of general classroom teachers to ESL instructional methods; increased instructional coordination between ESL/bilingual teachers and general classroom teachers; greater

specificity in the prescription of instruction to guide the English language acquisition process; and greater awareness of the inadequacy of most English language proficiency assessments (p. 41).

The data collected in this study have indicated that there are several areas that warrant attention of principals who are serving a population of English Language Learners in their schools. The following recommendations will inform school leaders of strategies that will yield a positive outcome for this population of students.

Vision and leadership. Even though there were no statistically significant differences in the respondents from the two principal groups in this area, the literature supports the concept that principals, who keep English Language Learners on their school reform agendas, are those leaders that are experiencing school success for this subgroup. Vision and leadership is viewed by the researcher not only as a survey component, but rather a core responsibility of school leaders. Principals who communicate a vision for their staff that emanates from a strong knowledge base of effective programs for the ELLs, create norms for continual school improvement. A recommendation to continuously focus on ELL achievement follows: Engage staff in continual conversations that focus on essential questions such as “*Who benefits from what goes on here?*”; “*What structures should be put into place that we have not tried that will yield a different result for our ELLs?*”; “*What training do we need to improve the academic success for this group of students?*”

Culturally responsive leadership. Effective school leaders actively work to develop leadership skills in other people on the school staff. There are many ways to relinquish autocracy and control and to share or distribute leadership among many stakeholders in the schools:

- Create leadership teams in schools that develop strategies to properly place students based on assessment findings, meet with regularity to assess student progress, and monitor action plans to help ELLs meet their academic goals;
- Establish a data or inquiry team in the building that ensures that all ELLs are tested upon entry and placed in programs with the required minutes of instruction service per the Commissioner’s regulation;
- Include the ELLs in conversations about students’ progress at the Instructional Support Team tables or with the school’s Response to Intervention Coordinator;
- Screen ELLs as warranted for suspected special education needs;
- Find coursework for staff not only in academic strategies but in cultural competency training, including on-line PD offerings;
- Develop partnerships with colleges and universities that have TESOL (Teachers of English to Speakers of Other Languages) coursework to secure additional support from teachers needing to do practicum work in the schools and/or to consult with professors and researchers to learn best practice strategies in diversity;
- Partner with refugee and immigrant organizations to better support the social and cultural acclimation of students and their families into the greater and school community.

Instructional leadership. Effective school leaders create opportunities for staffs to learn as a Professional Learning Community (PLC) as a whole faculty or in grade-level groupings. They establish priorities that include making time to observe instructional practice and providing feedback to teachers about observed teaching and learning behaviors in classrooms. They become visible routinely in the classrooms and engage in “accountable” talk with teachers and other instructional staff. Instructional leaders:

- Research-based practices, using a plan-do-study-act cycle, to implement and evaluate the efficacy of the implementation of research-based methodologies and approaches;
- Conduct a needs assessment to learn what staff need by way of professional training and tier that training to meet the needs of new and veteran staff working with the ELLs;
- Make data-driven decisions at the school and classroom level; use all available data effectively;
- Establish a yearlong visitation calendar of announced classroom observations;
- Conduct frequent walk-throughs (unannounced visits) to classrooms, leaving teachers with notes on positive observations and “what I would like to have seen more of” improvement behaviors;
- Develop a structure for team or grade level meetings for teachers to work collectively on strategies for improved learning opportunities for students and attend these weekly or bi-weekly sessions;
- Provide both oral and written feedback to staff with tangible improvement recommendations; obtain from staff a promissory commitment to try new techniques within a specified time frame; schedule follow-up meeting to discuss implementation.

School management. Effective school leaders hire well and monitor the success that newly hired staff have with the English Language Learners as well as to monitor their ability to learn from veteran staff and teacher leaders daily. Effective principals:

- Partner with colleges and universities to learn of qualified candidates for teaching positions;

- Require that candidates demonstrate both orally (interview) and in writing (sample) their interest in the position; hire staff that are willing to contribute to the whole school community by bringing skill and talent to the organization as well as to the classroom;
- Monitor staff hires, especially during their untenured years, to assess their acclimation to the school community, the relationships formed with families and faculty, their contributions to the educational and social welfare of their; make objective decisions to retain or release staff based on their performance and promise.
- Advocate during the budgeting cycle for bi-lingual instructional coaches in literacy and mathematics to work in tandem with ELL teachers to model lessons and introduce new strategies for effective instruction;
- Budget for appropriate instructional resources for teachers and students;
- Allow for inter-school and inter-district visitations for staffs to observe colleagues who are highly effective in their practice with ELLs.

Recommendations are targeted to school leaders, as the research was conducted to investigate the attributes (beliefs and practices) that impact ELLs academic success as measured by state accountability measures. As federal policy makers and state education officials continue to explore protocols and practices for curriculum and instruction (the integration of the new Common Core Learning Standards for English language arts and mathematics) and the development and implementation of new assessment measures (for placement, progress monitoring and summative evaluation), principals need to consistently access information about proposed changes from the State Department of Education that will support their efforts in educating a growing population of students, who bring to the schools cultural diversity, insight,

and perspective which can influence and enrich the entirety of the school community and the community in which they reside.

Continuing immigration trends suggest that the importance of improving education for ELLs will not diminish in future years. Even the most highly qualified and dedicated teachers cannot provide appropriate educational opportunities for ELL students without the support of committed and skilled school leaders. Ensuring that ELLs receive research-based instruction and support will help thousands of current and future students succeed in school.

Recommendations for future research.

The researcher chose to conduct a quantitative research study. The survey data tells one story; the researcher believes that a qualitative study on the same topic would have yielded, as conversations with participants generally do, a more personalized insight into how principals are supporting academic success for the English Language Learners. Further study of this topic would provide information about cultural leadership, instructional leadership and school management practices, perhaps affirming current findings, but additionally answering for the researcher questions related to the important areas of vision and leadership and school and community outreach practices, where no statistically significant differences in principal responses were determined in the original study. Vision and leadership could be explored with a series of interview questions that clearly delineate the conceptualization of a vision distinct from the execution of a vision. In the area of school and community outreach, the researcher would frame questions around the principals' strategies for engaging parents in the education of their children and explore the factors that are preventing parents from being actively involved in their children's educations. Investigating advocacy strategies that principals are employing to empower parents to take an active role in the schooling of their children and to outreach to the

larger community to support the schools would be another area of exploration in a qualitative study.

Additionally, not related to the current study, but rather based on the research found in the literature reviewed for this study and demographic data collected, coupled with professional knowledge of current trends in the field of ELL teaching and learning, the researcher would suggest the following topics as relevant studies:

1. Given the demographic trends, with the projected influx of immigrant and refugee students arriving in U.S. schools in the coming years, the researcher would be curious to learn how system leaders would develop both a vision for and an academic action plan to support the newcomers, concurrently in need of language and literacy skills, who enroll in U.S. schools.
2. Although ELLs reside primarily in larger cities and attend schools in urban areas, work opportunities for parents and caregivers may be a catalyst for immigrant families to move to suburban and rural areas. Given these potential demographic shifts, with limited resources and the imposition of the tax cap, what strategies would suburban and rural superintendents develop and deploy to both meet the needs of the ELL population and be in compliance with the regulation for ESL mandated services for this subgroup of the population in challenging fiscal times?
3. As New York State transitions to the Core Curriculum Learning Standards, a study designed to examine the impact of a new relevant and rigorous curriculum on English Language Learners' achievement would yield important information for school leaders. Further, an investigation into the curricular practices and instructional models that are

affording ELLs the greatest degree of school success would be a timely topic to investigate.

4. The years of experience that a school leader has served as a building principal in a school with a subgroup ELL n count large enough to be entered into the accountability system would be an intriguing topic to study. If a quantitative study was designed, the dependent variable would be years of principal experience; the researcher would determine how a new or novice principal is defined (i.e. not yet tenured; less than 5 years of experience) and define a veteran principal per years of experience in the position. The same component areas that defined the researcher's survey could frame this study.
5. The impact of the ESEA Waiver and the potential re-authorization of No Child Left Behind on the English Language Learners is a timely and important study for consideration. Native language testing justification, as well as U.S. residency longer than one year before students are required to sit for standardized testing administration, would be central issues to explore.
6. With much research in the field about the importance of early childhood education, an interesting study would be to compare the achievement of ELL learners on state accountability measures who were enrolled in a Universal Prekindergarten (UPK) that provided non-mandated ESL support to the youngest language and literacy learners and those children who either were not enrolled in UPK or attended a UPK program that did not provide ESL services to students.

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Principal Leadership Attributes: Beliefs and Practices that Ensure Academic Success for English Language Learners
Introduction (11-12-048)

Dear Principal Respondent:

My name is Linda A. Rudnick and I am a doctoral candidate in the Educational Leadership program at the Sage Colleges in Albany, New York. The purpose of my quantitative study is to examine the implications of principals' leadership attributes (beliefs and practices) on the results/achievements of English Language Learners on core state accountability measures. Selected elementary and middle school principals in New York State (excluding NYC) will participate in this study. At least half of the schools with a subgroup of ELLs large enough to count toward school status will have made their targets for the LEP students; the other half will have missed the target. Both Schools in Good Standing as well as Schools in Need of Improvement are included in this study.

With the influx of both immigrant and refugee students entering our schools from many corners of the world, coupled with the fact that current NCLB legislation requires ELLs who are new both to the country and new to the English language sit for state tests, school leaders and their teachers are challenged - at the classroom and school levels. Since subgroup performance is used to measure school status, how English Language Learners perform on accountability measures matters.

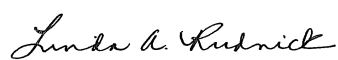
Your responses to the survey I have developed are valuable and important to the research that I will conduct this Winter/Spring. It is anonymous, contains forty-four (44) questions, should take no more than 15-20 minutes to complete and will require no research on your part. While encouraged to answer all survey questions, you are not obligated to complete the entire survey and may exit the survey at any point.

Any summary findings will be available to any respondent upon request. Participation in this study is voluntary and will not be shared with anyone in any way that identifies you as an individual and only aggregate data will be presented in the final report.

For each returned survey, I am donating two dollars to the Albany Chapter of the US Committee on Refugees and Immigrants (USCRI). Many families have come to the Capital District from Burma, Bhutan and Iraq since 2009. They have fled war, famine, sectarian violence and ethnic cleansing. Their children are enrolled in our schools and have contributed to the diversity that schools enjoy and the challenges they face in the accountability system.

If you have any questions regarding the nature or scope of this study, please feel free to contact me at any of the following numbers: (w) 518-475-6061; (h) 518-458-2699 and/or (c) 518-522-1007. This research has received the approval of the Sage Colleges Institutional Review Board, which functions to ensure the protection of the rights of human participants. If you have any complaints about this study, please feel free to contact Dr. Esther Haskvitz, Dean of Sage Graduate School at 518-244-2264. There is voice mail capability at each number provided. Thank you in advance for your consideration of this request.

Sincerely,


Linda A. Rudnick

Principal Leadership Attributes: Beliefs and Practices that Ensure Academic Success for English Language Learners

Demographic Information (11-12-048)

For each of the following descriptors, please select the one that best describes your building.

1. Grade Configuration ***This question is required**

- Elementary (any grades inclusive of PK-6 in an Elementary School)
- Middle (any grade configuration 5-8)
- PK-8 or K-8

2. Demographic Description ***This question is required**

- Urban
- Suburban
- Rural

3. Building Enrollment ***This question is required**

- 300 or less
- 301-499
- 500 or greater

4. ELL Enrollment ***This question is required**

- 30-49
- 50-99
- 100 or greater

5. Title I ***This question is required**

- Yes
- No

6. Accountability Status for School Year 2010-2011 *This question is required

- School in Good Standing
- SINI 1 or SINI 2
- Corrective Action
- Restructuring
- PLA (Persistently Low Achieving)

7. Accountability Status for LEP Subgroup *This question is required

- Made AYP
- Did not make AYP

8. Number of years as an administrator *This question is required

- 0-3
- 4-9
- 10-14
- 15+

9. Number of years in current building as its principal *This question is required

- 0-3
- 4-9
- 10-14
- 15+



Principal Leadership Attributes: Beliefs and Practices that Ensure Academic Success for English Language Learners

Vision and Leadership (11-12-048)

10. For each of the statements below, please indicate the level of achievement for each.

	Not Achieved	Beginning to Achieve	Partially Achieved	Fully Achieved
I have a clear understanding of the elements that are necessary for an effective program for ELLs with a focused vision of what outcomes are to be expected from the program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I facilitate and communicate the school's vision to staff, faculty and the community in order to form a partnership in which all are motivated to achieve these outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have extensive training and certification in bilingual/ESL education, spend time staying current on the recent research and practice in bilingual/ESL education and confidently share this information with others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Because I have a thorough understanding of the research findings and pedagogical principles underlying programs for ELLs, I am prepared to advocate for the programs that are best for our students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I facilitate discussions with my staff that examine existing organizational practices and key ideas for reform that center on critical questions such as "Who benefits from what goes on here?" and what these mean in terms of specific school improvement plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I emphasize and create norms of staff-wide concern for continual school improvement, assist in helping to establish the goals, obtain the resources, stimulate the understandings, change the structures, and promote and maintain the practices that improve learning experiences and outcomes for ELLs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I take an advocacy approach regarding various forms of discrimination or inequity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Principal Leadership Attributes: Beliefs and Practices that Ensure Academic Success for English Language Learners

Positive School Culture and Instructional Program (11-12-048)

11. For each of the statements below, please indicate the level of achievement for each.

	Not Achieved	Beginning to Achieve	Partially Achieved	Fully Achieved
My school has researched effective programs and/or practices that have been effective in similar settings and made recommendations for implementation on a specified timeline	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I continually advocate for the inclusion of ELLs and ensure sustained attention to these students by explicitly keeping language and culture on the reform agenda and insisting that every teacher participate in the school's continuous improvement process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I practice shared leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I support educational equity and excellence for all students, hold high expectations for all students, and make the achievement of ELLs a priority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I promote instructional approaches that foster biliteracy development and content acquisition and advocate for the use and development of students' native languages	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I help to create a school climate that values cultural and linguistic diversity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have current and substantial knowledge about curricular issues and effective instructional strategies crucial to the successful programs for ELLs and I play a critical role in promoting and monitoring effective teaching and learning for them	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have restructured the school to be a professional learning community that helps to improve teaching quality and raise student achievement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I place high priority on professional development for all school staff with training that is designed to serve ELLs more effectively	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I help to create a climate of professional growth and accountability to support teachers in their efforts to become proficient teachers of ELLs, and I develop structures to strengthen curriculum and instruction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have current and substantial knowledge about trends in effective professional development and I am engaged in ongoing professional development activities for myself and my teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I provide procedures for early data collection on students, particularly ELLs, that enable my staff to make informed and appropriate decisions regarding students' instructional needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I monitor ELL's language and academic development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I assist teachers in increasing their certainty about the goals for student achievement and their ability to meet the goals, and provide feedback when they have met the goals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I am highly visible in my school, I make frequent visits to classes to assure that quality instruction is provided and I provide substantial feedback to teachers on their teaching	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Principal Leadership Attributes: Beliefs and Practices that Ensure Academic Success for English Language Learners

School Management (11-12-048)

12. For each of the statements below, please indicate the level of achievement for each.

	Not Achieved	Beginning to Achieve	Partially Achieved	Fully Achieved
I play a key role in the improvement of teaching and learning by influencing the organization of instruction, examining the impact of various organizational alternatives on access to instruction and on student achievement, and making appropriate changes that promote both equity and excellence for all students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I recruit and keep talented and dedicated staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I hire bilingual staff who have cultural backgrounds similar to those of the students and who are role models for them	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I provide and facilitate ample opportunities for collaborative planning and design of curriculum and lessons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I allocate funding for appropriate materials, translation of materials, professional development and innovation within the classroom	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Principal Leadership Attributes: Beliefs and Practices that Ensure Academic Success for English Language Learners

School and Community (11-12-048)

13. For each of the statements below, please indicate the level of achievement for each.

	Not Achieved	Beginning to Achieve	Partially Achieved	Fully Achieved
I take strong steps to work with ELL's parents, meeting parents in their homes and work sites, establishing linguistic equity by providing translators whenever needed, and developing parent competencies in leadership and other areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I ensure that all communication to parents is provided in their native language as much as possible	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I encourage ELL parents to participate in literacy-rich activities with their children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I send a strong message to parents that they should use and extend the family's primary language at home	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I actively solicit bilingual parents, extended family members, and community volunteers to help in the school and become involved in their children's schooling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I involve language minority parents in the decision-making process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I learn about the communities our students represent, and I attend activities sponsored by language minority groups in the school and community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I advocate for language minorities in the school and community and I speak up in favor of programs and services for the ELLs and their families in various forums	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Principal Leadership Attributes: Beliefs and Practices that Ensure Academic Success for English Language Learners

Thank You! (11-12-048)

Thank you for taking this survey. Your responses are valuable and will inform research in the field to best serve the ELL population in our schools.