EQ, Not Just IQ: The Relationship between Emotional Intelligence and the Success of High School Principals Who Have Been Awarded the Illinois Principals Association's High School Principal of the Year Award

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THE RELATIONSHIP BETWEEN EMOTIONAL INTELLIGENCE
AND THE SUCCESS OF HIGH SCHOOL PRINCIPALS WHO HAVE BEEN
AWARDED THE ILLINOIS PRINCIPALS ASSOCIATION'S
HIGH SCHOOL PRINCIPAL OF THE YEAR AWARD

A DISSERTATION SUBMITTED TO
THE FACULTY OF THE GRADUATE SCHOOL OF EDUCATION
IN CANDIDACY FOR THE DEGREE OF
DOCTOR OF EDUCATION

PROGRAM IN ADMINISTRATION AND SUPERVISION

BY

ROWENA MAK
CHICAGO, ILLINOIS
MAY 2014
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To suggest that this work has been a personal journey would be an understatement. As with many journeys, the road to completing this dissertation would not be possible without the love, support, and guidance from many people whom I proudly consider as my mentors.

My research would not have been possible without the generous time from the participants of this study. Our brief interaction truly had a profound effect on my understanding of leadership and the selfless act of committing oneself to school improvement.

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This dissertation is wholeheartedly dedicated to my daughters, Izzy and Sofia. May they be fulfilled in their own pursuit of happiness in life. May they realize that with passion and perseverance, anything is possible. May they know that having them as daughters is and will always be my greatest accomplishment in life.
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ABSTRACT

As educational reforms become more complex, the role of the principal as a change agent also becomes more challenging and dynamic. To confront the leadership demands of schools, principals require focus, passion, wisdom, courage, and integrity. An underlying assumption of these traits is the principal’s emotional fortitude. Emotional intelligence is as complicated as it is organic, in that its foundation rests on an individual’s awareness of himself/herself and how these emotions drive his/her ability to relate with others. With this comes the question, what makes a successful principal? The purpose of this research was to explore the relationship between a high school principal’s emotional intelligence and his or her success as a leader.

Participants of this study included five principals who were recipients of IPA’s (Illinois Principal Association) Illinois High School Principal of the Year Award. To better examine the extent to which emotional intelligence has had an influence on their work as principals, these participants were asked to complete the Emotional Intelligence Appraisal®. Additionally, they also participated in a 60-minute interview as a way to gain additional insight on how they might have perceived their leadership qualities and practices that have contributed to their success as high school principals.

The findings of this study revealed a relationship between high school principals’ emotional intelligence and their success as leaders. In particular, self-management was identified as strength while social awareness was a weakness – even for a group who has been recognized by their peers as successful leaders.
CHAPTER I
INTRODUCTION

Purpose of the Study

What is the mark of a great leader? Is success a result of being in the right place at the right time or is it a result of an individual's hard work, commitment, and perseverance? In his best-selling book, Outliers: The Story of Success, Malcolm Gladwell (2008) argued that “achievement is talent plus preparation” (p. 38) and that successful individuals enjoy an elusive combination of innate qualities, relentless dedication to one's craft, and having fate deliver the perfect circumstances for opportunities to occur.

To date, a quick search on the word “leadership” yields 127,000,000 results on Google™ while the online bookstore, Amazon™, reports having 2,488 books related to the topic of instructional leadership, meaning the role of individuals such as the principal. To examine the importance of principals in harnessing the talent and the collective commitment of faculty and staff is to demystify the true meaning of educational leadership and in turn – success.

Individuals at schools, like individuals everywhere else, are thinking and feeling creatures. While teaching may still be considered by many as an honorable profession, the scrutiny around education and teacher performance, in particular, is undeniable. In addition to time spent with students in the classroom, the preponderance of demands placed on teachers that include lesson planning, grading of student work, staff meetings, parent/student conferences, ongoing professional development, low pay, lack of school resources, and lack of support from
administration – just to name a few – can understandably lead to decreased teacher morale (Berryhill, Linnwy, & Fromewick, 2009; Clotfelter, Ladd, Vigdor, & Diaz, 2004; Darling-Hammond, 2003; Louis, Febey, & Schroeder, 2005). Higher accountability and increased demands on workload can negatively impact teacher morale and, instead of feelings of pride and job satisfaction, teachers could feel unappreciated, overworked, and not treated as professionals (Darling-Hammond, 2003; Fullan, 2010; Margolis & Nagel, 2006; Rowland, 2008).

Central to this discussion is the role of the school leader, particularly that of the principal, in addressing teacher morale. Given that the principal serves as the face of instructional leadership at the building level, his/her actions as the leader of the organization will undoubtedly and inevitably take credit for – both good and bad – teacher morale and the overall organizational health of the school. Extensive study has been conducted to suggest that principals play a key role in school improvement and improving student achievement outcomes (Fullan, 2007; Lambert, 2003). In addition to participating in a range of activities that improve teacher practice and student outcomes, principals are also being asked to engage in activities that promote the district’s vision as well as understanding and developing people within the school, redesigning the organization to fit the needs of diverse students, and managing the teaching and learning program for the faculty responsible for working with students (Leithwood, Harris, & Hopkins, 2008; Waldron, McLeskey, & Redd, 2011; Whitaker, 2012). In the words of Fullan (2010), “successful principals develop others in a way that is integrated into the work of the school” (p. 14).

While it is true that teachers play a key role in promoting and improving student achievement, principals hold a special position in that they have access to the larger school system and have an inherent position of authority. The principal has the promise of building trust, of focusing the school goals, of directing the dialogue to focus on student learning, and to directly
influence the implementation of policy and practice. It is for this reason that the title and the role of the principal, over the last several years, have been restructured to one of instructional leadership.

School climate reflects the physical and psychological aspects of the school. Integral to this climate are the interactions and the relationship between the faculty and the school leader. The leadership team may include the superintendent of the district and even the school board, but it is still the fundamental role of the principal to provide the leadership for the school, to paint a clear vision for the behavioral expectations of teachers, and most importantly, to provide support for faculty in developing an effective school. In fact, the impact of school leadership such as that provided by the principal places just second to the role of the classroom teacher. Moreover, a number of research claims that principal leadership has a strong relationship to the climate of the school and, in turn, on student achievement (Cotton, 2003; Leithwood et al., 2008; Marzano, Waters, & McNulty, 2005).

While there are classes, programs, and degrees that can be attained by principals to acquire the skills in effectively leading a school, acquiring the emotional aptitude to handle such a task is another skill set in and of itself. In promoting the importance of emotional intelligence, Goleman (2002) has said that it may be IQ that gets the job, but ultimately – it is the leader’s EQ, or emotional intelligence, that determines if she will keep the job, and that “leaders who maximize the benefits of primal leadership drive the emotions of those they lead in the right direction” (p. 6).

While history might have suggested that effective principals only required having the skills to manage the operations of the school, the expectations for today’s school principals are calling for a distinct type of leadership. Chappuis (2004) cited the work of Fullan who “predicts that leadership will be to this decade what standards-based reform was to the last” (p. 18). As educational reforms become more complex, the role of the principal as a change agent also
becomes more challenging and dynamic. With this comes the question, what makes a successful principal?

**Significance of the Problem**

This research explored the relationship between a high school principal’s emotional intelligence and his or her success as a leader. If the most recent model for Principal Evaluation adopted by the State of Illinois (2012) is any indication of the challenging role of the principal, then this researcher asserts that there is a complex combination of factors that are involved in the composition of a successful principal. The Performance Evaluation Reform Act of 2010 (PERA) provides a new framework for evaluating principals by including standards that aim to the develop staff and improve student achievement outcomes. It is evident that these standards require emotional intelligence.

The six leadership strands below are designed to evaluate the principal’s professional practice by determining his/her effectiveness as a capacity builder who facilitates meaningful and productive systems change. These standards comprise the new Illinois Performance Standards for School Leaders (IPSSL) and guide the rubrics for evaluating principal performance.

1. Living a Mission and Vision Focused on Results
2. Leading and Managing Systems Change
3. Improving Teaching and Learning
4. Building and Maintaining Collaborative Relationships
5. Leading with Integrity and Professionalism

In addition to addressing the daily issues of the school, the principal is first and foremost an instructional leader and, inherent to this role, it is the responsibility of the principal to implement
the mission and vision of the school, to align this mission and vision to the goals of the district, to ensure that students are availed a high-quality and standards-based curriculum, and that the needs of high-performing teachers are met and encouraged towards a path of professional growth.

One of the components of a principal’s success that this research explored was directly related to the success of the school. The principal’s impact on the success of the school assumes that his or her leadership actions have created school-wide conditions that support student learning. A qualitative study by Hinton (2008) explored the relationship between the leadership practices of principals and the academic achievement of their respective schools by examining their progress toward Adequate Yearly Progress (AYP). Findings from this research revealed that principals in schools that made AYP demonstrated leadership traits that can be characterized as higher levels of emotional intelligence, particularly in the levels of self-awareness, social awareness, and relationship management. Data from a meta-analysis conducted by Waters et al. (2003) found a correlation between leadership and student achievement. In looking through the various research-based leadership responsibilities that were born out of this research, it is undeniable that there are clear connections between leadership practices and the leader’s emotional intelligence. To illustrate, the leadership practice referred to as “culture” describes the extent to which a principal might foster shared beliefs among the individuals within the school. Additionally, “relationships” deals with the extent to which the principal demonstrates his/her awareness of the personal aspects of the school’s faculty. Furthermore, the order of change from this study suggests the importance of the school leader’s awareness of the teachers’ personal needs, of forging personal relationships with them and acknowledging significant events in their lives – skills that are all related to a principal’s level of emotional intelligence (DeRoberto, 2007).
The case for a principal's ability to foster the school culture is an important one to make. In a *Best Practice* brief published at Michigan State University (2004), Betty Tableman et al. claimed that school culture and climate are two factors that can either support or impede learning. In this context, school culture was defined as the assumptions, values, and beliefs that give an organization its identity and standard for expected behaviors.

Over the last several years, the education arena has endured a great deal of scrutiny, criticism, and mandated reform such as *No Child Left Behind*. In addition, the ongoing debate about tenure and teacher evaluation has contributed to the increasing anxiety of teachers about their contributions to the profession (Louis et al., 2005). Numerous research studies in the field of education have underscored the effect of teacher effectiveness on student achievement. Therefore, if a component of teacher effectiveness is a byproduct of the teacher's overall satisfaction in her work, then the overall teacher morale of the school is a priority for the school leader (Berryhill et al., 2009; Reynolds & O'Dwyer, 2008).

Another component of the principal’s success that this research explored was the extent to which his or her own peers recognize and applaud his or her work. While formal evaluation processes have their purpose and merit, there is also something to be said about being recognized by one’s own peers for performing and excelling in a work as daunting and important as that of a principal.

One of the indicators for success used in this research was through the lens of peer recognition. While little research can be found on the importance of peer to peer recognition, companies such as Baudville® and organizations such as Gallup (1999) have published their findings regarding the value of peer recognition and praise, and how these simple yet profound gestures can be especially encouraging when received from a peer who is considered to have a
better understanding of an individual’s contributions to the field given his or her own experience working in a similar situation. In particular, the Gallup Organization has conducted its own multiyear research in an effort to identify the various dimensions of the workplaces that yield positive outcomes to its employees and in turn, are used to measure the health of a workplace. What this research revealed was an affirmation on something that might be considered as a given – that human beings possess the need to be recognized and that individuals crave and thrive from having a sense of accomplishment.

The Awards for Excellence™ rubric for the Illinois High School Principal of the Year is used to evaluate the nomination for such an award and indicates that honor is given to the principal who:

- Demonstrates a positive impact on education and advocacy for children;
- Ensures the school climate is positive and reflects high staff and student morale;
- Demonstrates creativity and imagination in bringing about positive change;
- Willing to take risks to improve student learning;
- Moves actively to implement the goals and objectives of the school;
- Works collaboratively with teachers and other staff to improve the educational program and student achievement;
- Anticipates emerging problems and acts effectively to resolve them; and
- Involves the community in the life of the school and uses community resources for students.

By selecting a non-randomized group of participants whose success is evidenced through peer recognition, this researcher generated some patterns with respect to the types of behaviors, skills, and accomplishments that contribute to what may be defined as a successful high school
principal. Three of the standards included in the Illinois Performance Standards for School Leaders Rubric are in the areas of (1) Building and Maintaining Collaborative Relationships, (2) Leading with Integrity and Professionalism, and (3) Creating and Sustaining a Culture of High Expectations. Inherent to these domains are the personal and social competencies of the school leader and how his/her skills in these areas affect his/her ability to be a change agent.

The Illinois Principal of the Year Award is one of the Awards for Excellence Awards sponsored by the Illinois Principals Association (IPA). In an effort to provide a more focused examination of leadership, this research included the profiles of these high school principal awardees. Nominations for this award are submitted by superintendents, school boards, community members, teachers or colleagues – that is, the very people who bear witness to the work of the principal. Consequently, winners are chosen by a committee that consists of past IPA presidents, suggesting that accolades are awarded by the individuals who have the familiarity and understanding of the important work performed by principals.

Finally, this research also explored the self-assessment of the principals themselves through the lens of emotional intelligence. The relationship between emotional intelligence and effective leadership has its share of attention in research. To illustrate, a quantitative study done by Saxe (2011) asserted that the emotional and social competencies of the leader are related to his/her ability to contribute positively to the transformation of an organization. Furthermore, this research cites the work of Hackett and Hortman (2008) who measured the relationship between the leadership behaviors of principals and their self-reported emotional and social competencies. Among the findings of this research is the importance of suggesting that more efforts should be made to understand the principal’s leadership behavior by claiming that emotional intelligence
scores can be a predictor of one’s leadership effectiveness and in turn, should be tools used to hire, promote, and develop the organizational leader.

**Research Questions**

This research explored the characteristics that comprise an effective and successful high school principal as seen through multiple lenses posed below. For the context of this research, the basis for success were based on the following questions:

1. What are the attributes of high school principals who have been recognized by their peers and were recipients of the Illinois Principal of the Year award?
2. What are the attributes of the schools that these principals lead as measured by student achievement growth and the 5 Essentials Survey?
3. What is the emotional intelligence aptitude of these principals as measured by the Emotional Intelligence Appraisal ®?
4. How might a high school principal’s emotional intelligence contribute to his/her leadership practices and consequently, his/her success as an instructional leader?
5. Finally, what might be some implications for principal preparation programs, as well as leadership professional development, for high school principals, as they aspire to school leadership distinction?

**Methodology**

This research was a mixed method study and examined the relationship between the principals’ emotional intelligence and their success as instructional leaders of their respective schools. The researcher used the Emotional Intelligence Appraisal ® (2011) developed by Drs. Travis Bradberry and Jean Greaves (2007). Based on the Emotional Intelligence Framework of
Daniel Goleman, the *Emotional Intelligence Appraisal* ® measures an individual’s emotional behaviors based on four core competencies:

1. **Self-awareness** — the ability to read one’s emotions and recognize their impact while using gut feelings to guide decisions.

2. **Self-management** — involves controlling one’s emotions and impulses and adapting to changing circumstances.

3. **Social awareness** — the ability to sense, understand, and react to others’ emotions while comprehending social networks.

4. **Relationship management** — the ability to inspire, influence, and develop others while managing conflict.

In order to explore the question of what it takes to be a successful high school principal, past and current recipients of IPA’s (Illinois Principal Association) Illinois High School Principal of the Year Award between 1991-2012 were identified. Given that there was one winner per year (there were no winners during 2001 and 2002), a maximum of 20 participants could have potentially participated in the study. Once a group of five principals from this group of 20 have agreed to participate in the study, they were asked to complete the *Emotional Intelligence Appraisal* ®. In addition to completing the *Emotional Intelligence Appraisal* ®, the researcher also asked each principal to participate in a 60-minute interview. The purpose of the interview was to gain additional insight on the participant’s self-perception of their leadership qualities and practices that have contributed to their success as high school principals. By studying the results from the *Emotional Intelligence Appraisal* ® as well as the interview, the interviewer identified commonalities, with respect to personal and social competence, among the participants from the study. The researcher also offers some findings with respect to similarities and/or differences in gender, age,
and years of experience among this selected group of principals. Finally, this study also examined data from the IPA Principal of the Year nominations as measured by the criteria established by IPA. By examining the nomination documents and/or the comments provided by the principals during the interview, this researcher hopes to generate some patterns with respect to the types of behaviors, skills, and accomplishments that contribute to what may be defined as a successful high school principal.

Another criteria for success that was be examined by this researcher was based on the success of the school as measured by growth on student achievement. Given the high stakes nature of annual assessments such as the American College Testing (ACT) exam, it is undeniable that progress and achievement toward meeting this goal provides a centerpiece for many of the action steps in which the principal is involved. Last, this research also explored data from the 5 Essentials Survey. Starting in the 2012-2013 school year, all Illinois schools were required to administer the 5 Essentials Survey to its faculty, students, and parents. Based on 20 years of longitudinal data from more than 400 schools, the 5 Essentials Survey was developed in hopes that it would provide schools with a comprehensive report on the key indicators that have been proven to impact positive gains in student achievement. Data from this survey provided an additional data point in exploring the effectiveness of the school leader as well as the extent to which the school is considered successful.

For the past decade, there has been a pervasive and simplistic vision of accountability. Central to the work involved in promoting student success are the efforts of the principal to harness the knowledge and the talent of individuals who are considered to have “front line” access when it comes to influencing student achievement. Bolman and Deal (2002) claimed that leading with the soul and spirit is precisely the type of leadership needed to meet the accountability demands of
today’s educational system. To confront the leadership demands of schools, principals require focus, passion, wisdom, courage, and integrity. An underlying assumption of these traits is the principal’s emotional fortitude. Emotional intelligence is as complicated as it is organic, in that its foundation rests on an individual’s awareness of himself/herself and how these emotions drive his/her ability to relate with others. This research explored the relationships among the principals’ emotional intelligence, their journey to distinction as leaders, and how such efforts contributed to the success of the faculty and the organization that they lead.

This research study utilized a triangulation of data to determine common themes that emerged from multiple sources of data. Through this process there was recognition that the analysis was emergent and not procedural. The triangulation created themes that were not anticipated originally. The preconceived notions of the researcher may not materialize in the end. As Merriam stated “A qualitative design is emergent. The researcher usually does not know ahead of time every person who might be interviewed, all the questions that might be asked, or where to look next unless data area analyzed as they are being collected” (p. 169).

![Figure 1. Triangulation of Data](image-url)
Proposed Literature Areas/Conceptual Framework

This study explored the Emotional Competence Framework developed by Goleman, Boyatzis, and McKee (2002). This framework contains four dimensions – two of which are personal and the other two being social. Caruso, Mayer, and Salovey (2000), who were some of the pioneers of the emotional intelligence theory, stated its importance as follows:

Emotional intelligence refers to an ability to recognize the meanings of emotion and their relationships, and to reason and problem-solve on the basis of them. Emotional intelligence is involved in the capacity to perceive emotions, assimilate emotion-related feelings, understand the information of those emotions, and manage them.

The first two dimensions of this framework pertain to the personal competence of an individual. For the purpose of this study, this framework guided the understanding of how a principal may display awareness of his or her emotions and how he or she may handle such emotions. The last two dimensions of the framework pertain to social competencies or the principal’s ability to not only sense the emotions of others but also how such understanding may be used to manage relationships with others. This research explored the relationship between a high school principal’s emotional intelligence and his/her leadership practices and how the relationship between the two contributed to his/her success as an instructional leader.

Summary

What makes a successful high school principal? The complexity of the principal’s role as well as the demands of what the job itself entails can both be challenging and rewarding. When looking at the person behind the title, are there identifiable behaviors that are common among individuals that have been recognized as some of the most successful high school principals in Illinois? Is it enough to simply consider the achievement of the school itself and draw a relationship between the school’s achievement and the leadership practices of the principal?
### PERSONAL COMPETENCE

<table>
<thead>
<tr>
<th>Self-Awareness</th>
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<td>- Emotional Awareness</td>
<td>- Empathy</td>
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<td>- Accurate Self-Assessment</td>
<td>- Organizational Awareness</td>
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<td>- Self-confidence</td>
<td>- Service</td>
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### SOCIAL COMPETENCE

<table>
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<th>Self-Management</th>
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<td>- Self-control</td>
<td>- Inspirational leadership</td>
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<td>- Transparency (Trustworthiness)</td>
<td>- Influence</td>
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<td>- Adaptability</td>
<td>- Developing Others</td>
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<td>- Achievement</td>
<td>- Change Catalyst</td>
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<td>- Initiative</td>
<td>- Conflict Management</td>
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<tr>
<td>- Optimism</td>
<td>- Building bonds</td>
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<td></td>
<td>- Teamwork and Collaboration</td>
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Adapted from *Primal Leadership: Learning to lead with Emotional Intelligence* (Goleman, Boyatzis, & McKee, 2002, p. 39)

**Figure 2. Emotional Intelligence Framework**

Goleman et al. (2002) stated the importance of emotional intelligence and that leaders, among their many important duties and responsibilities, have to realize one of their most important obligation as leaders – their primal leadership drive that will steer the emotions of those they lead in the right direction. Based on these assertions, the guiding questions for this research were: In identifying the attributes of those who are considered as successful high school principals by virtue of being recognized by the Illinois Principals’ Association:

1. What are the attributes of high school principals who have been recognized by their peers and were recipients of the Illinois Principal of the Year award?
2. What are the attributes of the schools that these principals lead as measured by student achievement growth and the 5 Essentials Survey?
3. What is the emotional intelligence aptitude of these principals as measured by the *Emotional Intelligence Appraisal®*?
4. How might a high school principal’s emotional intelligence contribute to his/her leadership practices and consequently, his/her success as an instructional leader?

5. Finally, what might be some implications for principal preparation programs, as well as leadership professional development, for high school principals, as they aspire to school leadership distinction?
CHAPTER II
REVIEW OF RELATED LITERATURE

Introduction

This research explored the characteristics that comprise an effective and successful high school principal who has been awarded the Illinois High School Principal of the Year. For the context of this research, the basis for success were based on the following questions:

1. What are the attributes of high school principals who have been recognized by their peers and were recipients of the Illinois Principal of the Year award?
2. What are the attributes of the schools that these principals lead as measured by student achievement growth and the 5 Essentials Survey?
3. What is the emotional intelligence aptitude of these principals as measured by the Emotional Intelligence Appraisal®?
4. How might a high school principal’s emotional intelligence contribute to his/her leadership practices and consequently, his/her success as an instructional leader?
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The Growing Leadership Challenge of Principals

Now, more than ever, the role of the principal has become as loaded as the title of instructional leader itself. The principal has the potential of building trust, of focusing the school
goals, of directing the dialogue to focus on student learning, and for directly influencing the implementation of policy and practice. Fullan (2010) captured these growing challenges by stating that “successful principals develop others in a way that is integrated into the work of the school” (p. 14). Implied in this statement is the belief that successful principals are those who are skilled in not just managing the administrative duties of the school but also in cultivating positive relationships with the people within it.

To recognize the increasing demands placed on school leaders is to acknowledge that such demands will undoubtedly result in high levels of stress among principals. Studies that validate the importance of emotional intelligence contend that effective leadership requires an understanding of one’s emotions as an essential part of understanding and managing that of others. Sergiovanni (1992) explained that the essence of moral leadership is to understand that organizations may be our reality but that leaders must work towards moving the organization into a community by adding substance to the work, forging relationships, understanding the people that comprise the organization, and helping all stakeholders understand the common vision. The ability to foster a sense of belongingness in the workplace and the ability to be aware and responsive to one’s emotions as well as that of others are the pillars of emotional intelligence (Goleman, 1995, 1998; Goleman et al., 2002; Mayer & Salovey, 1997).

Kouzes and Posner (2002) further explained the complexity of leadership by describing it as a notion that involves “a relationship between those who aspire to lead and those who choose to follow” (p. 20). What this statement reveals is the complicated orchestration between emotions and leadership. As such, it reveals that being intelligent does not only mean having the cognitive aptitude to handle the demands of leading a group of people; without emotional intelligence, a
leader risks not having the ability to monitor his/her own feelings and of others, and the skill set to use this information as a guiding light when it comes to leading the way for others.

Markle and VanKoevering (2013) explored the dramatic change of the principal’s role in an article written for Phi Delta Kappan. Using the character of Edward Bell who was created by Wolcott (1973) in his book The Man in the Principal’s Office, Markle and VanKoevering argued that Edward Bell, who represents any given principal in our schools today, would find himself in need of adjusting his role to meet the demands of today’s principalship. While adaptability is a principal requirement that has not changed over time, today’s principals are now faced with very public and statutory ways of defining school success as measured by Adequate Yearly Progress (AYP) with respect to student achievement, and most recently – the 5 Essentials Survey as a means to measure school climate among other elements. It may be true that principals were once able to assume all responsibilities of school improvement, but today’s principals are expected to collaborate and communicate with various stakeholders about all innovations that their school will undertake. Among the most significant responsibilities of today’s principals, Markle and VanKoevering (2013) explained, are those related to building capacities toward understanding and using data to improve instruction, making information available and transparent to all stakeholders, and exhibiting a sense of confidence toward leadership decisions that may be very public and certainly tied to the principal as a person (p. 11). In a dissertation written by Hoppey (2006), The Man in the Principal’s Office is again revisited as a leader whose once simple role as the first to unlock his building’s doors in the morning and the last to drive home each night as one who is in charge of “lubricating the human machinery” in the following ways:

Three separate but overlapping characteristics of [this investment] include… (1) buffering teachers and staff from external pressure, (2) nurturing teachers and staff, and (3)
promoting teacher growth. The goal and underlying moral purpose of these actions are directly related to improving the lives of teachers and students. (p. 98)

The core values of principals may remain the same over time, in that they may still be an educator who is dedicated to improving the school, the community, and the lives of students, but this job must also be performed in an era of increasing accountability, high stakes reform, and expectations for 21st century learning. Teaching, learning, and leadership will undoubtedly require leaders who are strong in every aspect of their personal and professional well-being.

**The Relationship between Successful Principals and Successful Schools**

To better understand the many complicated layers within a school, Morgan (1998) presented various metaphors related to organizations, with schools being one of the places in which these metaphors are manifested. An underlying lesson presented by these metaphors cautions school leaders to simplify the school as a machine or an organization that relies on mechanistic approaches. This notion warns school leaders against viewing schools filled with human “machine” parts that can be expected to be compliant or to behave in a certain way as designed by its creator. While these mechanistic approaches have their place, especially when the process is expected to yield the same product over and over again, schools are also organisms – institutions that must be resilient enough to survive in a time of change. A critical assumption to fully understanding this metaphor is the crucial role of successful principals in leading successful schools.

The *New Leaders for New Schools Report* (2010) cited the work of Marzano et al. (2005) who underscored the impact of principal effectiveness to student achievement, and how even in the most difficult situations such as schools with high rates of poverty and high rates of minorities, the action of principals in leveraging reform is of notable importance. In describing the principal's
impact on student achievement, the report cites the research conducted by Marzano and colleagues, findings that would later evolve into The Urban Excellence Framework. Some of the most important findings revealed by this research explained that among the many leadership responsibilities of principals placed an emphasis on skill sets that are crucial to the daily challenges that principals will face. Some of these skills allude to emotional intelligence competencies such as those related to communication and listening, self-awareness, and interpersonal skills.

The claim that effective leadership practices have an effect on student achievement is not a novel idea. In fact, McREL prepared its findings in a report written by Waters, Marzano, and McNulty (2003). The meta-analysis presented by this report included 30 years of research and 5,000 studies as it examined the effects of leadership on student achievement since the early 1970s. Consequently, it concluded that there are certain leadership practices that principals can employ in order to promote positive gains in student achievement. Of these 21 leadership practices, a significant set of traits can be linked to the behaviors that are valued by the research on emotional intelligence.

For instance, communication (with a statistical significance of .23) is described as the extent to which the principal establishes strong lines of communication with both faculty and students. Moreover, relationships (with a statistical significance of .19) stress the importance of principals who demonstrate an awareness of the personal aspects of teachers and staff. It also includes the practice of flexibility (with a statistical significance of .22) and how principals must be able to comfortably adapt his or her leadership behavior to the needs of the current situation.

While the rest of the leadership practices may have more concrete linkages to factual knowledge such as implementation of curriculum, instruction, and assessment, there is an underlying tone that in order for these technical knowledge to fall in place, principals must possess the ability to
manage its human capital – work that begins with the principal himself/herself as an individual. In describing the disciplines of a PLC leader, Kanold (2011) explains that there must be attention given to the human capital of encouragement, and that when freely given by the leader, encouragement helped boost employee performance toward a higher level.

**The Challenge of High School Principals**

While few would argue that the role of today’s principals are laced with reform and accountability, the demands appear to be even more insurmountable for high school principals who are expected to find quick remedies for student achievement that should really be nurtured as early as the elementary and middle school level.

A study conducted by Cooley and Shen (2005) used data from the 1999-2000 Schools and Staffing Survey (SASS) which surveyed 4,386 high school principals regarding their perspectives on mandate, accountability, sanctions and rewards, and professional responsibilities. Among some of the findings of this study indicated the prevalence of performance goals and how the school’s ability to meet these standards have become more of a political agenda rather than a tool for school improvement. Moreover, principals reported that in many instances, principals are required to do more work when their school fails – from having to develop corrective action plan to being skillful about how to allocate, manage, and exploit resources that have been provided for schools to support instructional improvement. Needless to say, high school principals have to navigate this process while also dealing with the public scrutiny of a community which is demoralized by the “failure” of the school (p. 17).

The survey also explored data on principals’ engagement in professional activities. It should come as no surprise that while the traditional responsibilities of managing resources and maintaining the physical security of the school and the students still exist, the rhetoric of the
principal’s role as an instructional leader has meant additional responsibilities including the effective development and implementation of curriculum, instruction, and assessment. Cooley and Shen (2005) also cited several works that describe the political agenda behind school improvement reforms and how the expectation for high school principals to possess the “magic potion” that would transform schools are disguised as career aspirations of major politicians (Benveniste, 2002; Goodlad, 2002; Poplan, 2001; Sergiovanni, 2000). “Movements” that are spearheaded by politicians yet shouldered by schools, particularly administrators, have been around for the past 20 years and such reforms have dramatically transformed the daily duties of principals. These innumerable tasks include anything and everything related such as data-driven decision making, monitoring student achievement, aligning the curriculum to standards set by high-stakes exams, mentoring teachers, and above all protecting instructional time (Johnson, 2005; Lyons & Algozzine, 2006; Styron & LeMire, 2009).

The challenge that principals face was an issue explored by Johnson (2005) in an article that outlined the reasons behind some principals’ decision to leave their position. While some of these reasons included opportunities for advancement within their career aspirations, several of the principals interviewed cited cultural issues, workload, bureaucracy, student discipline, and irate parents as just some of the reasons that led to their decision for leaving the profession which they initially pursued out of their genuine desire to work with teachers and help students.

Furthermore, Eckman (2004) studied the similarities and differences between male and female high school principals and found that issues pertaining to role conflict, role commitment, and job satisfaction contributed to many of the challenges that high school principals face today. The study was conducted by asking high school principals in Illinois, Minnesota, and Wisconsin to complete three survey instruments: a Role Conflict Questionnaire, a Role Commitment Question,
and a Job Satisfaction Survey. In discussing her findings, Eckman cited multiple research studies (Houston, 1998; Protheroe, 2001; Young & McLeod, 2001) regarding the “superprincipal” myth and described the unreasonable time demands and pressures on the principal, especially at the high school level. In fact, these challenges have been cited as some of the factors related to the growing shortage of qualified candidates for the high school principal in many school districts across the United States.

Among the challenges that this study discussed was the difficulty of maintaining balance between the professional commitments of being a high school principal and the personal commitments of having a family. One way that some female administrators have reconciled with this issue is choosing between their personal aspirations of having a family or becoming “superwomen” – one who is committed to both career and family. This scenario was best depicted in an article written by Harris (2012) that described Marcey Sorensen, whose overwhelming job as principal of Clemente High School in Chicago included not only gaining the trust of the school community but also facing challenges such as teachers who do not show up for work on the first day of school, gang-related issues among the student body, and a mere 11.9% of students meeting state standards on the Prairie State Achievement Exam (PSAE; data from 2011-2012 school year). Nevertheless, Ms. Sorensen’s worries do not include these obvious challenges but rather how to convince her staff to accept the meaning of accountability by ensuring that every student receives what he or she needs, to embrace the idea of high quality instruction by examining student data and by being resilient despite some of the teachers’ very public denouncement of her high expectations. All of these tasks illustrate the many balls that high school principals must learn how to juggle at all times.
Organizational Health as an Essential Responsibility of the Principal

Despite what the phrase might suggest, organizational health does not mean office spaces designed à la feng shui or yoga sessions during lunch breaks. While these novelties may provide some interesting water cooler conversations, a sincere attention to organizational health is more profound. In fact, its complexity lies in its simplicity. In his book, *The Advantage*, Lencioni (2012) made the distinction between organizations that strive to be healthy and not just smart. Within the context of the principal’s work, being smart may be about the fundamentals of education – teaching and learning, professional development, and student achievement data. Yet being a healthy organization, Lencioni argued, would also require executives such as principals to look for signs that affect the well being of the people within an organization. These crucial components include those that are related to politics, morale, and productivity. Nevertheless, Lencioni explained that most executives would prefer to study issues that are safe and predictable such as looking at data because paying attention to the emotional side of things would mean risking the potential for awkward conversations.

Principals have a crucial role to include school climate as an essential part of school improvement. In describing the fundamental responsibility of learning organizations, Hughes (2000) cited the work of Senge (1990), who emphasized that learning organizations should develop commitment and not just compliance by making sure that the individuals within it are nurtured in a way to reach their highest aspirations. At the center of this work is the importance of human relationships and how these could be cultivated with the same gusto as any other school initiatives. Because most schools are jaded by blame, distrust, and a general lack of emotional wellbeing, principals are key in starting and sustaining a culture that fosters positive relationships with faculty. Research findings on school reform underscore the positive effects of emotionally healthy schools
and that principals are at the heart of promoting such culture (Cohen, 2010; DeVita, Colvin, Darling-Hammond, & Haycock, 2007; Leithwood, Louis, Anderson, & Wahlstrom, 2004; Rowland, 2008; Tableman, 2004).

Yet to suggest that principals do not understand nor acknowledge the importance of fostering positive relationships among faculty and other stakeholders within the school would be irresponsible. However, it is a case of perception working against reality as illustrated by the Metlife Survey of the American Teacher (2003). School leadership has undoubtedly become synonymous with principals yet there is such a disconnect between what principals claim to be their utmost priority and what their school’s stakeholders, including teachers, perceive to be the issues that earn their principal’s attention. This incongruence is described by the following findings from this survey:

Although teachers are in agreement with principals and parents on the relative importance of guiding and motivating students and faculty, they differ in their emphasis on other aspects of the school and a principal’s priorities. Teachers believe that test scores are most important to principals – more important than motivating teachers and students. Yet principals overwhelmingly report that the motivation of students and faculty to achieve is their top priority. Teachers believe that principals spend more time on reporting and compliance than on guiding and motivating teachers, but principals report that the reverse is true. (Metlife Survey of the American Teacher, 2003, p. 3)

For principals who wish to foster a positive culture within a school, a “one-size-does-not-fit-all” approach means that he/she must be aware of and responsive to the many layers of the school. Bolman and Deal (2008) warned that the “…primary cause of managerial failure is faulty thinking rooted in inadequate ideas” and that leaders “…too often rely on constricted models that capture only part of organizational life” (p. 21). This would suggest that effective leaders must be sensitive to not only the myriad of activities that can happen during any given time in the school but also to the diverse and complicated emotional states of the people within the school.
Getting Serious about School Climate

While no reform can claim that it is the silver bullet that will improve schools, researchers from the Consortium on Chicago School Research at the University of Chicago (2010) attest that there can be gains in student achievement by paying attention to certain key ingredients when organizing the school culture. These key indicators which include effective leaders, collaborative teachers, involved families, supportive environment, and ambitious instruction would later be developed into what is now called the 5 Essentials Survey.

Based on 20 years of longitudinal data, the 5 Essentials Survey was developed in hopes that it would provide schools with a comprehensive report on the presence of these aforementioned indicators. As such, research conducted in more than 400 schools revealed the following:

Schools strong in 3 to 5 of the Essentials are 10 times more likely to improve student learning than schools weak in 3 to 5 of the Essentials. Those differences remain true even after controlling for student and school characteristics, including poverty, race, gender, and neighborhood characteristics. Strength on components within the Essentials also correlates with increased teacher retention, student attendance, college enrollment, and high school graduation. (Illinois State Board of Education, 2013, para. 4)

Consequently, schools can then utilize these data to target resources and to formulate decisions that would hopefully improve student achievement. Starting in the 2012-2013 school year, all Illinois schools were required to administer the 5 Essentials Survey to their faculty, students, and parents. Data collected from this survey will not only be provided to the school but will also become part of the mandated state school report card, and will undoubtedly become another source for considering the success of school leaders and the success of the school as a whole.
So Many Standards, So Little Time

The demands and expectations for what principals must be held responsible for have evolved at the same rate as demands and expectations for education as a whole. Consequently, many researchers call for a different way to evaluate the performance of principals – one that might better incorporate the complex job of school leadership and one that understands the impact of the principal on student achievement (Darling-Hammond et al., 2010; Kimball, et al., 2009; Marzano et al., 2005; Reeves, 2009).

If there remains any doubt about the overwhelming tasks and responsibilities that principals must assume, one only needs to examine the Illinois Performance for School Leaders Rubric (2012) developed by the Performance Evaluation Advisory Council (PEAC) and what seems to be countless numbers of standards, domains, and indicators for which principals are held responsible. Using the Interstate School Leaders Licensure Consortium Standards (ISLLC) as its guide, the rubric for principal evaluation spells out just about every nook and cranny of the principal’s office and more – from ensuring that the school’s mission and vision permeates throughout every decision made about the school and its students to creating a climate that is considerate of the diverse culture and point of view of the school community. In all, the performance standards with which principals’ performance is evaluated include the following standards under the following big ideas:

- Living a Mission and Vision Focused on Results
- Leading and Managing Systems Change
- Improving Teaching and Learning
- Building and Maintaining Collaborative Relationships
- Leading with Integrity and Professionalism
Creating and Sustaining a Culture of High Expectations

The revised model for principal evaluation as impacted by both the Performance Evaluation Reform Act (PERA, 2010) and Senate Bill 7 (SB7, 2011) underscore the increasing demands on principals’ roles and responsibilities. In addition to being evaluated based upon the standards included in the Illinois Performance Standards for School Leaders Rubric (2012), anywhere between 30% to 70% of the principals’ evaluation will now incorporate student growth. That is, a principal’s effectiveness as a school leader will be heavily based on measurable change on student outcomes.

As one considers the Illinois Performance Standards for School Leaders Rubric (2012), it is evident that the principal’s emotional intelligence is crucial within various domains and indicators that describe the interactions that the principal will make with students, faculty, parents, and the entire school community. To illustrate, one of the examples of evidence for the domain related to building ongoing relationships states the following: “Staff and community members report positive relationships with the principals and other members of the school [observations and artifacts: school climate survey]” (p. 16). Another domain describes the principal’s ability to understand the change process and the type of support that teachers may need as their values and beliefs about teaching and student achievement are challenged while another domain also describes expectations for how the principal might conduct difficult conversations with staff members who contradict the vision of the school.

The standards, domains, and indicators included in this rubric demonstrate the challenging role of the principal by performing tasks that do not merely require the principal to develop a list of action steps that can be checked off but more importantly, by relying on his or her personal beliefs, values, and commitment as a leader. As such, the principal must examine his or her own emotions
in carrying out the ever-daunting duties and responsibilities of the school leader while also being cognizant and considerate of the school community’s emotions as they navigate through the many changes and challenges of the educational landscape. There is no doubt that the stakes are high; the principal’s job comes with a plethora of demands and challenges. The fact that the state has mandated the standards by which principals will be evaluated, as described by PERA and SB7, highlights the principal’s insurmountable responsibility as the leader of the school.

**Emotional Intelligence as a Leadership Requirement**

It’s not just a “job.” Like many who enter the field of education, being a principal involves a lot of passion – a type of emotional commitment that defines one’s identity and self-worth. This research reveals that being a principal these days requires a skill set that can no longer just depend on content knowledge – leadership lessons that can be acquired from textbooks. Just as the old adage for new parents that babies do not come with an instructional manual, the importance of emotional awareness to the job of the principal is not something taught in schools or in leadership preparation programs. While there may be case studies and advice from mentors that principals can use as basis for decision-making, Bradberry and Greaves (2003) explained that good decisions require far more than factual knowledge and that in order to formulate sound decisions, factual knowledge must also have a good dose of self-knowledge and emotional mastery (The Big Picture section, para. 2). The very definition of leadership suggests strength, power, and perseverance to move the will of a group of people. Goleman (2002) contends that: “Leadership is not domination, but the art of persuading people to work toward a common goal” (Managing with Heart section, para. 10).

A study conducted by Potter (2009) utilized the framework developed by Nelson and Low (2003) whose theory on emotional intelligence contends that there are certain skills related to
interpersonal, intrapersonal, leadership, and self-management. Furthermore, these skills may be
associated with an individual’s personal satisfaction, health, and achievement within their own
professional endeavors. The study consisted of eight participants who were chosen based on their
levels of success within their respective roles. In defining strength in emotional intelligence, this
study explained that one needs high levels of assertion, comfort, empathy, decision-making,
leadership, drive, time management, commitment, self-esteem, and stress management while also
maintaining low levels of aggression, deference, and change orientation. After identifying patterns
on the participants’ Emotional Skills Assessment Profile (ESAP) scores, Potter indicated that there
is a difference in the emotional intelligence assessment between the professionally high
achievement group and the professionally average achieving group.

Goleman’s (1998) research on emotional intelligence does not suggest that it should
replace technical skills or knowledge that may be attributed to IQ. As with any given job, there are
certain requirements that the leader must still possess. Nevertheless, Goleman’s research strongly
contends that emotional intelligence is the sine qua non of leadership – and that without it, a
person can be the most brilliant with the best training in the world, but will never reach the level of
greatness that any and every leader aspire to have (What Makes a Leader section, para. 2). To
illustrate the importance of emotional intelligence on leadership development, Goleman described
his analysis of competency models from 188 companies. The purpose of this study was to
determine which personal capabilities could be identified as drivers of outstanding performance.
The result was a categorization of capabilities as being technical skills (such as one’s skill in
accounting), cognitive skills (such as analytical thinking), and finally – competencies related to
emotional intelligence (such as one’s ability to lead change). Not only did his analysis demonstrate
a remarkable significance of emotional intelligence, it also revealed that among those who belong
in the senior leadership positions, 90% of the competencies they possess were attributed to emotional intelligence factors rather than their cognitive abilities. In the context of school leadership, Goleman (2002) cited the work of Barsade (2002) who described the ripple effect of the leader’s emotional intelligence and that the strongest concentration of a group’s emotions is a result of the emotion coming from the most powerful person in the room. If the school’s climate is a reflection of the positive and negative interactions among all the members of the school, then the principal must acknowledge that he/she is largely responsible for the mood of the group.

In a related research conducted by Maulding et al. (2012), a group of 48 P-12 school administrators participated in a mixed-method study whose objective was to determine the relationship between school administrator leadership and emotional intelligence. In conducting this study, the researchers sought to identify the characteristics that successful educational leaders must possess or develop, through their own professional development endeavors that would support the increasing demands of their jobs as principals. Citing multiple research studies, Maulding et al. asserted that today’s school administrators are faced with multifaceted challenges and that in order to adapt to this dynamic environment, school administrators must possess a certain sense of resilience as well as a certain sense of emotional intelligence that would equip them to not only survive as the leader of the school, but also to be able to support the emotional needs of the instructional staff (Bumphus, 2007; Gurb & Flessa, 2006). In fact, this study affirms that the responsibilities placed on school administrators are so high, that those leaders who fail to develop their emotional intelligence run the risk of being discouraged.

As the researchers synthesized results from their study, they concluded that the most successful leaders are those who cultivate democratic and collaborative relationships with their faculty, and that the importance of communication was an underlying tone of the relationships they
built with their faculty. The linkages between these findings and the social competence component of emotional intelligence are of notable importance. In the area of social awareness, for instance, much emphasis is placed on a person’s ability to display a level of sensitivity toward the emotions of other people. Inherent to this competency are the skills of listening and observing, skills that were also implied by this study when the researchers mentioned that, “the leader’s ability to appreciate, respect, and learn from diverse viewpoints strengthen collaborative efforts” (Maulding, 2012, p. 26).

Furthermore, the relationship management competence as included in the emotional intelligence framework speaks to a person’s ability to use his/her awareness of themselves and of others to manage their interactions. Essentially, this speaks to the importance of trust building and communication, two other leadership practices that were highlighted in this study.

**Emotional Intelligence Defined**

Emotional intelligence is not just the latest fad with respect to its connection to leadership development. In fact, it was Thorndike (1920) who first suggested that intelligence is not a singular domain but rather divided into three areas, with one of them being social intelligence. At that time, social intelligence had a simple definition of being able to understand and manage people. Gardner (1983) built upon this theory by differentiating between intrapersonal (emotional) and interpersonal (social) intelligence. But it was the work of Salovey and Mayer (1990) who had the most influence on what is presently considered to be emotional intelligence. Under Salovey and Mayer’s research, emotional intelligence is accounted for its ability to “…contribute[s] to the accurate recognition and expression of emotion in oneself and in others” as well as “…the effective regulation of emotion in oneself and others, and the use of feelings to motivate, plan, and achieve” (p. 185).
Perhaps one of the most prevalent misconceptions about emotional intelligence is the notion that you either have it or you don’t. Its mystique lies in its intangibleness in that unlike IQ that can be measured by a concrete set of factual knowledge, the standards for measuring EQ — or a person’s emotional intelligence, is considerably more complex. Nevertheless, research studies show that unlike intelligence — or one’s ability to learn, emotional intelligence is a skill that can be learned and can be taught. In a research study emphasizing the importance of emotional intelligence on transformative leadership, Saxe (2011) cited the work of Goleman (1998, 2001) who asserted that social and emotional competencies can be taught and learned over a lifespan.

Research on emotional intelligence has not gone without critique. In addressing Waterhouse’s (2006) argument that emotional intelligence is not a valid concept, Cherniss, Extein, Goleman and Weissberg (2006) explained that there is a growing body of empirical evidence in support for emotional intelligence theory. The arguments presented by this paper indicate that emotional intelligence, while it may vary in definition from one research to another, essentially consists of two broad components – (1) awareness and management of one’s emotions, and (2) awareness and management of other’s emotions. Additionally, while it may have some components related to personality traits or even IQ, emotional intelligence offers unique contributions in the area of life satisfaction as well as job performance (Brackett & Mayer, 2003; Law, Wong, & Song, 2004; Mayer, Salovey & Caruso, 2008; Palmer, Donaldson, & Stough, 2002; Rosete & Ciarrochi, 2005).

In illustrating the distinguishing aspects of emotional intelligence, the paper reiterated Goleman’s (2005) stance that cognitive intelligence alone cannot predict the extent to which an individual can perform well or even rise to leadership positions within his/her field. Of particular interest to this research is the study conducted by Stone, Parker, and Wood (2005) that explored
the emotional intelligence of 464 principals and vice principals in Ontario. In addition to asking each principal to complete their own emotional intelligence assessment, a 20+-item leadership questionnaire was also completed by the person’s superior and up to three subordinates. The findings of this study concluded that above-average leaders had higher levels on all four dimensions of emotional intelligence.

In a comprehensive review of emotional intelligence theory, Kunnanatt (2008) brings out insights from current research studies that underscore the importance of emotional intelligence development in one’s job performance as well as career advancement. As such, Kunnanatt cites many of the research studies contending that IQ, or traditional intelligence, is important but not sufficient for one’s success in organizations, and that its application is effective in many arenas both in the profit and non-profit sectors (Diggins, 2004; Gibbs, 1995; Goleman, 1995; Mayer & Salovey, 1997; Morehouse, 2007; Rosete & Ciarrochi, 2005). Recent findings on social neuroscience explain the effect of mirror neurons and how it allows two people to imitate each other’s feelings. That is, emotions are contagious and humans have the ability to adjust feelings, emotions, and actions to be in sync with another person (Ashcroft & Kirk, 2001; Beilock & Carr, 2005; Winkleman & Harmon-Jones, 2006).

Within the context of organizations, Goleman cites the work of Barsade (2002) who explained that in any given group, the most powerful person in the room has the ability to influence the emotions of everybody else. For the work of principals, this means creating an emotional climate that can be characterized by positive interactions among the people within it. This places a significant challenge for principals to serve as the model for strong emotional intelligence.

One of the most useful parts of this paper describes the training process included in emotional intelligence programs. By going through stages of emotional mapping, emotional diagnosis,
emotional authentication, emotional navigation, empathy building, and influence building, a person becomes more intimate in understanding the extent to which his/her own emotional structure can influence relationship with others.

For instance, brain theory explains that emotional intelligence allows the “meta-regulation of mood.” Every person is equipped with a genetic programming that makes us react differently to unique emotions. As a person experiences different types of emotions, he/she is influenced not only by the type of conditioning received during socialization, he/she is also under the spell of the “tug and war” between the amygdala (the emotion-regulating part of the brain) and the neocortex (the rational part of the brain). It is here that a person with high levels of emotional intelligence has an advantage because he/she possesses the skills to not only detect the game played by the emotional and rational part of the brain, he/she is also able to channel his/her emotions appropriately. In fact, Kunnanatt (2008) synthesizes multiple research studies explaining that a person with high levels of emotional intelligence can steer the emotional part of the brain to support instead of take over the rational part of the brain (Bear et al, 1996; Davidson et al., 2000; George & Brief, 1996; Mayer et al., 1997a; Tischer et al., 2002).

Understanding Emotional Intelligence

To understand the implications of emotions in leadership is to first and foremost recognize emotions as something more complicated than just the surface level of psychological constructs. In fact, emotions are the manifestation of the environment surrounding a person. This research explored the relationship between a high school principal’s emotional intelligence and his/her leadership practices and how the relationship between the two contributed to his/her success as an instructional leader.
This study explored the Emotional Competence Framework developed by Goleman et al. (2002). There are four dimensions within this framework – two of which are personal and the other two are social. Caruso et al. (2004), who were some of the pioneers of the emotional intelligence theory, stated its importance as follows:

Emotional intelligence refers to an ability to recognize the meanings of emotion and their relationships, and to reason and problem-solve on the basis of them. Emotional intelligence is involved in the capacity to perceive emotions, assimilate emotion-related feelings, understand the information of those emotions, and manage them.

<table>
<thead>
<tr>
<th>PERSONAL COMPETENCE</th>
<th>SOCIAL COMPETENCE</th>
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<tbody>
<tr>
<td>Self-Awareness</td>
<td>Social Awareness</td>
</tr>
<tr>
<td>• Emotional Awareness</td>
<td>• Empathy</td>
</tr>
<tr>
<td>• Accurate Self-Assessment</td>
<td>• Organizational Awareness</td>
</tr>
<tr>
<td>• Self-confidence</td>
<td>• Service</td>
</tr>
<tr>
<td>Self-Management</td>
<td>Relationship Management</td>
</tr>
<tr>
<td>• Self-control</td>
<td>• Inspirational leadership</td>
</tr>
<tr>
<td>• Transparency (Trustworthiness)</td>
<td>• Influence</td>
</tr>
<tr>
<td>• Adaptability</td>
<td>• Developing Others</td>
</tr>
<tr>
<td>• Achievement</td>
<td>• Change Catalyst</td>
</tr>
<tr>
<td>• Initiative</td>
<td>• Conflict Management</td>
</tr>
<tr>
<td>• Optimism</td>
<td>• Building bonds</td>
</tr>
<tr>
<td></td>
<td>• Teamwork and Collaboration</td>
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</table>

Adapted from Primal Leadership: Learning to Lead with Emotional Intelligence (Goleman, Boyatzis, & McKee, 2002, p. 39)

Figure 3. Emotional Intelligence Framework

There are four emotional intelligence skills that fall under two primary competencies. Personal competence is the extent to which a person knows his/her own emotions and how this knowledge is used to manage their behavior and their tendencies. A person who is self-aware would be completely aware of the types of things that make him/her happy or excited as well as the types of things that can be sources of discomfort and frustration. A person who is in touch with their emotions or one who exhibits self-awareness would not only be able to identify his/her emotions, but he/she would also recognize that their feelings have an effect on their performance or how it may influence the way they think, do, or say. For principals whose jobs include dealing
with many types of people with different demands, as well as dealing with issues that provoke different types of leadership challenges, having a high degree of self-awareness means to acknowledge that feelings toward these challenges can bring out the best or the worst in them. Self-awareness also means having an acute sense of one’s goals and values as well as a certain comfort level with knowing one’s strengths and limitations. In their study of effective leadership practices, Erkens and Twadell (2012) found that the leader’s ability to make sound judgments is a result of the leader’s remarkable sense of personal focus – a remarkable combination of the leader’s deep understanding of oneself and a commitment to the values and ideals of the work itself.

Yet it is not enough to simply know one’s emotions and how it affects them, effective leaders must also be skilled in the area of self-management. To be skilled in this area means to be able to regulate one’s emotions. In describing the importance of self-management, Goleman (1996) invoked the work of Aristotle in the *Nicomachean Ethics*: “Anyone can become angry – that is easy. But to be angry with the right person, to the right degree, at the right time, for the right purpose, and in the right way – that is not easy.” We have all heard of strategies that may help us during moments of distress – counting to ten, breathing deeply, meditation, or going for a walk. For principals whose days are different from one day to the next, it is even more important to have an arsenal of self-management tactics. While self-management means being the boss of one’s tendencies, it does mean suppressing one’s emotions. A leader who is skilled in this area can effectively manage these tendencies, knowing that in doing so, he/she can pursue larger, more important goals.

The next two competencies of the emotional intelligence framework describe an individual’s ability to manage his or her relationship with others. While the domain of social
awareness may be the most recognizable when it is present or absent, Goleman et al. (2002), suggests that it goes beyond empathy and the generic sense of “I’m okay, you’re okay” (p. 49). In fact, leaders who are developed in this area are thought of having the skill of building resonance, and harnessing the emotions of others as a way to inspire them toward a common vision or goal. It is also through the development of this skill that leaders can take the pulse of the room or maybe even just a sense of how another person may be feeling. Social awareness is not about clairvoyance, it is about a person’s skill in anticipating, recognizing, and meeting the emotional needs of others. In an article written for Educational Leadership, Cherniss (1998) explained the importance of social and emotional learning for leaders and that self-confidence and calmness should be complemented by motivation and persistence.

Relationships, relationships, relationships! Schools, like many other organizations, are filled with people. Not only do people think but they also feel and the ability to manage different types of relationships is thought of as one of the most important responsibilities of the leader. Goleman et al. (2002) used the analogy of golf clubs and that the most successful leaders are those who are equipped with as many leadership styles for as many of the leadership challenges that he or she may face. Choosing and using the right golf club at the right time for the right measure is the fundamental skill that comprises relationship management.

The understanding that different situations and different challenges call for different types of leadership skills shapes the idea of emotional intelligence, not only in learning more about it but actually helping leaders develop it (Hinton, 2008). The Emotional Intelligence Appraisal (2009) was developed around a skill-based model of emotional intelligence and includes four skills that are intended to build connections between what one sees and what one does with emotions personally, and in the presence of others. At the end of the assessment, each participant received
an overall EQ score, as well as separate scores on the domains of Self-Awareness, Self-Management, Social Awareness, and Relationship Management. The Emotional Intelligence Appraisal ® measures an individual’s emotional intelligence and provides specific and constructive feedback as well as effective strategies for improvement on these behaviors. The tool was designed based on the research that emotional intelligence is more than a single skill and that strong inter-correlations among the sub competencies in the EQ model hinder the construct validity needed to support their identity as independent components (Boyatzis, Goleman, & Rhee, 1999; Bradberry, 2002; Mayer et al., 2002; Sala, 2002).

Principal Recognition that Celebrates Successful Leadership

Participants of this study included past and current recipients of IPA’s (Illinois Principal Association) Illinois High School Principal of the Year Award. This award recognizes the efforts of elementary, middle school, and high school principal who meet the following criteria:

- Demonstrates a positive impact on education and advocacy for children;
- Ensures the school climate is positive and reflects high staff and student morale;
- Demonstrates creativity and imagination in bringing about positive change;
- Willing to take risks to improve student learning;
- Moves actively to implement the goals and objectives of the school;
- Works collaboratively with teachers and other staff to improve the educational program and student achievement;
- Anticipates emerging problems and acts effectively to resolve them; and
- Involves the community in the life of the school and uses community resources for students.
In considering the leadership practices that are included in this framework, one cannot deny its connection to the competencies that comprise the emotional intelligence framework. For instance, the award recognizes principals who “ensure the school climate is positive and reflects high staff and student morale.” Maulding et al. (2012) contends that the spillover effects of successful administrators who can harness their emotional intelligence are manifested through high levels of teacher efficacy, morale, and school culture (p. 23). Another leadership practice that can be linked to the emotional intelligence framework is that of the leader’s “willingness [sic] to take risks to improve student learning.” Implied in this indicator is the principal’s strength in self-awareness. Self-awareness is described by Goleman et al. (2002) as one’s deep understanding of his/her emotions, as well as one’s strengths and limitations and one’s values and motives.

In a similar award sponsored by MetLife and the National Association of Secondary School Principals (NASSP), principals are recognized for their contributions and excellence in leadership through their work not only in the areas of curriculum, instruction, and assessment, but also through their work in what can only be described as galvanizing their human resources. To illustrate, the criteria for this award includes a component of “Personal Excellence.” Here, principals are recognized for their ability to model values, beliefs, and attitudes that encourage others to higher levels of performance. Essentially, this criterion describes many of the skills that are included within the emotional intelligence framework. Goleman et al. (2002) described this as primal leadership or the types of emotional resources that every leader should possess or if not develop, in order to “thrive amidst chaos and turbulent change” (Preface section, para. 9).

In a report regarding the Ontario Principals’ Council Leadership Study, Stone et al. (2005) postulated that principals who received high scores on the Emotional Quotient Inventory (EQ-I) are also those individuals who “tend to understand their emotions and are able to express and
communicate their feelings and needs” (p. 13). Furthermore, the researchers continued, this intrapersonal strength influences the principal’s ability to develop satisfying relationships, through their communication skills that include listening among other skills related to understanding and appreciating others.

To be a principal is not easy. To be a high school principal demands even more. The table below illustrates the connection between the expectations for principals’ performance (Illinois Performance Standards for School Leaders) and how the Illinois Principals Association recognizes these responsibilities by virtue of the criteria for its High School Principal of the Year Award.

<table>
<thead>
<tr>
<th>Criteria for Illinois High School Principal of the Year Award</th>
<th>Illinois Performance Standards for School Leaders</th>
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<tbody>
<tr>
<td>▪ Demonstrates positive impact on education and advocacy for children</td>
<td>▪ Living a Mission and Vision Focused on Results</td>
</tr>
<tr>
<td>▪ Ensures the school climate is positive and reflects high staff and student morale</td>
<td>▪ Leading and Managing Systems Change</td>
</tr>
<tr>
<td>▪ Demonstrates creativity and imagination in bringing about positive change</td>
<td>▪ Improving Teaching and Learning</td>
</tr>
<tr>
<td>▪ Willing to take risks to improve student learning</td>
<td>▪ Building and Maintaining Collaborative Relationships</td>
</tr>
<tr>
<td>▪ Moves actively to implement the goals and objectives of the school</td>
<td>▪ Leading with Integrity and Professionalism</td>
</tr>
<tr>
<td>▪ Works collaboratively with teachers and other staff to improve the educational program and student achievement</td>
<td>▪ Creating and Sustaining a Culture of High Expectations</td>
</tr>
<tr>
<td>▪ Anticipates emerging problems and acts effectively to resolve them</td>
<td></td>
</tr>
<tr>
<td>▪ Involves the community in the life of the school and uses community resources for students</td>
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*Figure 4. Illinois Performance Standards for School Leaders and Criteria for IPA Principal of the Year Award*

The process by which a principal becomes nominated for the Illinois High School Principal of the Year may seem simplistic but the value of the recognition is anything but. Nominations are
based on peer recognition and must be based on the recommendation of the board of one of the IPA Regions. Thus, principals who have been awarded the Illinois High School Principal of the Year are considered to be successful leaders by virtue of their ability to meet the criteria that shares similar values as the Illinois Performance Standards for School Leaders – leadership skills that range from acting upon the mission and vision of the school, sustaining efforts toward the improvement of teaching and learning, as well as forging positive relationships with the school community, just to name a few.

Emotional Intelligence as a Component of Leadership Programs

So where does one get this pill called emotional intelligence? For as many discussions that exist about the validity of emotional intelligence, there are just as many about the debate whether it is a skill that can be learned. The impact of poor leadership on an organization was also an issue explored by Dearborn (2002). In defining the “return on investment” for a company in providing professional development to its employees, Dearborn contends that leadership training must develop the leader’s self and social awareness. In doing so, the leader would be more equipped to approach a wide array of people and situations that may require different attention. Furthermore, the article painted a picture of the human needs of every organization – the need for people to feel heard and valued as an individual and consequently, the types of skills that a leader must possess to respond to these very basic needs as human beings.

Perhaps one of the more important points raised by Dearborn (2002) is the notion that emotional intelligence include competencies that can be learned and not innate talents with which one is born. In fact, just because one might possess emotional intelligence capacities does not automatically mean that these will be demonstrated automatically given that emotional intelligence hinges on the situational context for which it is needed. If it isn’t already the case, organizations
must consider any professional development as an investment. And for the seeds of learning to bear fruit, it must be cultivated and sustained. By this, people in leadership positions must be provided feedback and opportunities to reflect on their emotional intelligence growth. More importantly, organizations can no longer ignore the increasing studies that reveal the importance of emotional intelligence in leadership development (Hinton, 2008). Additionally, to provide such training would also involve a level of individualized approach that is customized to the specific needs of the leader in his or her quest to be more emotionally intelligent.

In an article written for *District Administration*, Butler (2008) describes different models for principal preparation programs with the overarching argument that leadership programs need to equip school leaders for the types of challenges that they will face. One of the studies that Butler cited was based on a 2006 survey by Public Agenda. Here, it was reported that two-thirds of principals felt that graduate leadership programs lack the content that would help school leaders deal with the realities of today's schools. Among some of the principal training programs that Butler showcased included an emphasis on team leadership, data analysis, and collaboration – initiatives that many would argue to be crucial responsibilities of the principal. Nevertheless, it also highlighted a program called “Side-by-Side Coaching.” In this model, development of the principal's emotional intelligence is considered to be a fundamental skill of principals as it helps them build their internal capacity to deal with the emotional aspects of leadership.

In describing the importance of enhancing the emotional intelligence of leaders, Tucker, Sojka, Barone, and McCarthy (2000) cite multiple research about the impact of emotional intelligence on the leader's road to success. In fact, they stated that “derailment does not occur because of a lack of technical or educational skills” but rather as a result of “character flaws, such as a lack self-awareness, an inability to change, poor treatment of others, and problems with
interpersonal relationships (Leslie & Velsor, 1996; Lombardo & Eichinger, 1995; Lombardo & McCauley, 1998; Shipper & Dillard, 1994).

As a point of clarification, Goleman’s (1998) research never contended that emotional intelligence is more important than IQ. However, his research found that emotional intelligence becomes even more important as a leader climbs the organizational ladder and as more and more people depend on him/her as an emotional compass in dealing with the increasing demands in the workplace. In fact, the road to emotional intelligence must be met with perseverance on the leader’s part because it is a journey that involves commitment and a concentrated effort over a period of time (Cherniss & Goleman, 1998). Figure 5 describes the phases that are included in an effective emotional intelligence training program and much of the patience that leaders must exhibit when they undergo such training is the understanding that “in social and emotional learning, there often must be more practice than in other types of learning because old, ineffective neural connections need to be weakened and new, more effective ones established” (p. 8).

The connection between these phases and the Illinois Performance for School Leaders are not difficult to make. To illustrate, one of the fundamental responsibilities of the principal is to provide feedback to teachers regarding their teaching ability and how such ability yields positive gains in student learning. Within the Illinois Performance for School Leaders Rubric (2012), specifically under the domain of “Improving Teaching and Learning”, this duty is described as follows:

The principal works with the school staff and community to develop a research-based framework for effective teaching and learning that is refined continuously to improve instruction for all students. (Improving Teaching and Learning section, para. 1)
One of the tenets of the preparation phase describes the art of providing feedback with care and recognized the distinct challenge of leaders when presented with the need to discuss an employee’s performance.

People are more likely to respond positively to feedback when they trust and respect the person who gives it. People also are more likely to be motivated to change when they believe that the feedback is constructive and accurate, and they are helped to identify the specific steps they can take to improve. People also need sufficient time to think about the information and its implications. And in social and emotional development efforts, it is especially important that the feedback occur in an atmosphere of safety. (Cherniss et al., 1998, p. 11)
While the act of providing feedback involves other people, the preparation phase suggest that the leader must first work on his or her individual disposition toward this part of the job and that to effectively carry it out, there is a balance between the personal and social competence within the bigger picture that is emotional intelligence (Hinton, 2008).

**Summary**

While principals may have known that their job entails some vulnerability to public scrutiny, this is even more important now in the age of accountability. The “principal’s office” has evolved into all the places that it needs to be for all the people within the school – teaching and learning, data processing, student discipline, family counseling, public relations, and human resources, just to name a few. Schools may stay the same in brick and mortar but the increasing demands placed on leadership require a certain sense of emotional fortitude that would allow the principal to be resilient to the dynamic needs of the school and the people within it.

Positive school climate is not only about everyone getting along in the building; it is about the tone that the principal sets and one that is orchestrated through the principal’s ability to not only be aware and manage his/her emotions but that of others, as well. Goleman et al. (2002) describes a leader’s primal emotional impact as the ability to “frame the group’s mission in ways that give more meaning to each person’s contribution – or not” (p. 9). Numerous research studies conducted by many of education’s thought leaders have stressed the importance of emotional intelligence as the discipline that principals must develop for its presence or absence thereof is what would allow the leader to foster teacher efficacy, improve school climate, and consequently – increase student achievement (Cohen, 2010; DeVita et al., 2007; Hattie, 2009; Leithwood et al., 2004; Maulding et al., 2012; Rowland, 2008; Tableman, 2004; Waters et al., 2003). Considerations based on these research studies provided a rationale for this research. As such, this study
explored the relationship between a principal's emotional intelligence and his or her success as a leader. This chapter also included discussions about the extent to which emotional intelligence can be measured and finally, how a developing understanding on the emotional intelligence of leaders might inform the manner by which this can be integrated into principal preparation programs.
CHAPTER III

PROCEDURES

Introduction

What is the mark of a great leader? Is success a result of being in the right place at the right time or is it a result of an individual's hard work, commitment, and perseverance? In his best-selling book, Outliers: The Story of Success, Malcolm Gladwell (2008) argued that "achievement is talent plus preparation" (p. 38), and that successful individuals enjoy an elusive combination of innate qualities, relentless dedication to one's craft, and having fate deliver the perfect circumstances for opportunities to occur.

Germane to this discussion is the role of the school leader, particularly that of the principal, in addressing teacher morale. Given that the principal serves as the face of instructional leadership at the building level, his/her actions as the leader of the organization will undoubtedly and inevitably take credit for – both good and bad – teacher morale and the overall organizational health of the school.

While there are classes, programs, and degrees that can be attained by principals to acquire the skills in effectively leading a school, acquiring the emotional aptitude to handle such a task is another skill set in it of itself. In promoting the importance of emotional intelligence, Goleman et al. (2002) has said that it may be IQ that gets the job, but ultimately – it is the leader’s EQ, or emotional intelligence, that determines if he/she will keep the job, and that “leaders who
maximize the benefits of primal leadership drive the emotions of those they lead in the right direction” (p. 6).

Chappuis (2004) cited the work of Fullan (2004) who “predicts that leadership will be to this decade what standards-based reform was to the last” (p. 18). As educational reforms become more complex, the role of the principal as a change agent also becomes more challenging and dynamic. With this comes the question, what makes a successful principal?

This research explored the relationship between a high school principal’s emotional intelligence and his/her success as a leader. One of the components of a principal’s success that this research will explore is directly related to the success of the school. Effective principals are those who, as a result of their leadership practices (1) have been able to promote and/or increase academic achievement for all students while (2) increasing the positive culture and climate of the school. Additionally, participants of this study will have all been recognized with the Illinois Principals’ Association award as Illinois High School Principal of the Year, and as such – another lens with which to consider their success.

Research Questions

This research explored the characteristics that comprise an effective and successful high school principal. For the context of this research, the basis for success were based on the following questions:

1. What are the attributes of high school principals who have been recognized by their peers and were recipients of the Illinois Principal of the Year award?
2. What are the attributes of the schools that these principals lead as measured by student achievement growth and the 5 Essentials Survey?
3. What is the emotional intelligence aptitude of these principals as measured by the Emotional Intelligence Appraisal ®?

4. How might a high school principal’s emotional intelligence contribute to his/her leadership practices and consequently, his/her success as an instructional leader?

5. Finally, what might be some implications for principal preparation programs, as well as leadership professional development, for high school principals, as they aspire to school leadership distinction?

Research Design and Justification for the Design

This research was a mixed method study and examined the relationship between the principals’ emotional intelligence and their success as instructional leaders of their respective schools. The researcher will use two instruments in this study. The first instrument was the Emotional Intelligence Appraisal ® developed by Drs. Travis Bradberry and Jean Greaves (2007). The instrument is based on the Emotional Intelligence Framework of Daniel Goleman and aims to measure an individual’s emotional behaviors based on four core competencies:

1. **Self-awareness** — the ability to read one’s emotions and recognize their impact while using gut feelings to guide decisions.

2. **Self-management** — involves controlling one’s emotions and impulses and adapting to changing circumstances.

3. **Social awareness** — the ability to sense, understand, and react to others’ emotions while comprehending social networks.

4. **Relationship management** — the ability to inspire, influence, and develop others while managing conflict.
The purpose for using mixed methods in this research was to allow for better triangulation of data that will be collected through the Emotional Intelligence Appraisal®, the student growth data from each of the school, as well as the interview with the principal. A mixed method approach combined both the quantitative as well as the qualitative data, in an effort to explore and understand the research questions within a single study (Creswell, 2007).

The quantitative data for this study came from two different sources. First, the Emotional Intelligence Appraisal® rendered a score for each of the participant. In addition to the total EQ score, participants were also given a breakdown of their score within the four competencies that comprise the emotional intelligence framework. Second, student growth data was also collected for each of the participant’s school and this too, was used to identify some patterns among the participants of this study. The quantitative data described above comprised the first phase of this research study and was referenced and used as a basis for the second phase of the research study – the interview with each of the participant. The goal of the quantitative phase was to allow each participant to reflect on their emotional intelligence, particularly in its relationship to their development, their role, and ultimately – their success, as leaders.

Three of the standards included in the Illinois Performance Standards for School Leaders Rubric are in the areas of (1) Building and Maintaining Collaborative Relationships, (2) Leading with Integrity and Professionalism, and (3) Creating and Sustaining a Culture of High Expectations. Inherent to these domains are the personal and social competencies of the school leader and how his/her skills in these areas affect his/her ability to be a change agent.

While the indicators for these domains include descriptive statements that are designed to help the leader be reflective on their performance in these areas, this instrument provided leaders with a method by which they can reflect upon the extent to which their emotions and behavioral...
skills influenced their ability to lead and work with other individuals in the school. A fundamental purpose of this study was to explore how principals can reflect upon their emotions and how the development of this very personal part of leadership can contribute to the collective work of school improvement.

As mentioned earlier, the second phase of this research study was the interview with each of the participants. This approach allowed the researcher and the participant to engage in a more in-depth discussion related to the research questions of this study. In providing some guidelines for using qualitative research, Willis (2007) explained that one of the advantages of an interpretivist qualitative research, if not its underlying purpose, is its goal to understand a particular context and not necessarily an obsession to search for a valid, generalizable or absolute truth. This can be accomplished when the researcher immerses himself/herself in the context of what he/she wants to understand and by combining knowledge gained from the research and even his/her past experiences. Moreover, Willis (2007) suggested that a basic foundation of qualitative research aims to accept multiple sources of influence and should be committed to study and thought rather than a mere emphasis on a particular topic or research paradigm (p. 194). The goal of this research was to understand the practices of high school principals for which their emotional intelligence might have had a role. This supports the use of a qualitative method because the research, in particular the findings gleaned from the individual interviews, focused on how each high school principal’s decisions affect their broader social reality.

Another reason for the compatibility of this study to the use of a qualitative method is based on the research design’s inherent ability to expect, if not seek, multiple perspectives. Here, Willis explained Neuman’s (1997) view who stated that social reality is constructed through interaction, and that human beings are best studied through the examination of their individual
situation in a particular context (p. 192). But perhaps the most interesting characteristic of an interpretivist qualitative research that compliments this study is its view that the beliefs of groups of people, in this case – high school principals- arise from individuals interacting in groups. That is, the collective character of high school principals can be determined by the characteristics of individuals who both influence the groups they belong to and are influenced by those groups. This was especially important to the revelations of this research and its implications to the preparation and/or professional development of high school principals.

While the quantitative data of this study informed the second phase of this study, there was emphasis placed on the patterns that emerged from the qualitative component in that it not only allowed for a more in-depth exploration of the research questions, but it also represented the major aspects of data collection. The results of these two components were integrated when the researcher interpreted the results of this study. The figure below illustrates the triangulation of data that was used to support the outcomes of this research.

![Figure 6. Triangulation of Data](image-url)
Sampling Plan

In order to explore the question of what it takes to be a successful high school principal, past and current recipients of IPA’s (Illinois Principal Association) Illinois High School Principal of the Year Award between 2002-2012 were identified. The demographic data from the participating principals, as well as demographic data for their corresponding schools was also collected and described in this study. Every year, the IPA recognizes an elementary, middle school, and high school principal with the Illinois High School Principal of the Year award. Given that there is one winner per year since its inception in 1991, a maximum of 20 participants could have potentially participated in the study. Nominations are based on peer recognition and must be based on the recommendation of the board of one of the IPA Regions. The Awards for Excellence rubric for the Illinois High School Principal of the year is used to evaluate the nomination for this award and indicates that honor is given to the principal who:

- Demonstrates a positive impact on education and advocacy for children;
- Ensures the school climate is positive and reflects high staff and student morale;
- Demonstrates creativity and imagination in bringing about positive change;
- Willing to take risks to improve student learning;
- Moves actively to implement the goals and objectives of the school;
- Works collaboratively with teachers and other staff to improve the educational program and student achievement;
- Anticipates emerging problems and acts effectively to resolve them; and
- Involves the community in the life of the school and uses community resources for students.
One of the indicators for success used for this research was through the lens of peer recognition. While little research can be found on the importance of peer to peer recognition, companies such as Baudville® and organizations such as Gallup (1999) have published their findings regarding the value of peer recognition and praise, and how these simple yet profound gestures can be especially encouraging when received from a peer who is considered to have a better understanding of an individual’s contributions to the field given their own experience with working in a similar situation. In particular, the Gallup Organization has conducted its own multiyear research in an effort to identify the various dimensions of the workplaces that yield positive outcomes to its employees and in turn, are used to measure the health of a workplace. What this research revealed was an affirmation on something that might be considered as a given – that human beings possess the need to be recognized and that individuals crave and thrive from having a sense of accomplishment.

By selecting a non-randomized group of participants whose success is evidenced through peer recognition, this researcher generated some patterns with respect to the types of behaviors, skills, and accomplishments that contribute to what may be defined as a successful high school principal. Inherent to the domains included within the Illinois Performance Standards for School Leaders Rubric (2012) are the personal and social competencies of the school leader and how his/her skills in these areas affect his/her ability to be a change agent. While the indicators for these domains include descriptive statements that are designed to help the leader be reflective on their performance in these areas, it was the hope of this researcher that both the Emotional Intelligence Appraisal ® (see Appendix F) and the interview (see Appendix M) allowed participants to reflect upon the extent to which their emotions and behavioral skills influenced their ability to lead and work with other individuals in the school.
Then, the researcher contacted potential participants via email (see Appendix C) to inform them of the study and the rationale for inviting them as participants. Within this email, the researcher also provided a link to a website that included information from the Consent Form as well as the interview portion of the data collection (see Appendix D). This webpage also included a place for their electronic signature as evidence of their willingness to participate in the study. Upon entering their electronic signature, potential participants were redirected to the online version of the Emotional Intelligence Appraisal ®. Both the researcher and the participant had immediate access to the results of this survey. During the interview portion of the data collection, the researcher provided a hard copy of the Consent Form (see Appendix D) and thus, allowed the researcher to have a paper copy of the participant’s signature.

**Phase One: Quantitative Measure**

The quantitative component of this study utilized the emotional intelligence appraisal of each participant. The Emotional Intelligence Appraisal ® (2009) was developed around a skill-based model of emotional intelligence and includes four skills that are intended to build connections between what one sees and what one does with emotions personally, and in the presence of others. At the end of the assessment, participants received an overall EQ score, as well as separate scores on the domains of Self-Awareness, Self-Management, Social Awareness, and Relationship Management.

The Emotional Intelligence Appraisal ® measures an individual’s emotional intelligence and provides specific and constructive feedback as well as effective strategies for improvement on these behaviors. Once participants completed the survey, they received their scores for their overall EQ and each of the four skills, as well as a report in which they were presented with a description of what their score means. Moreover, they were given a graph from which they can
understand the trends in their emotional intelligence, as well as an opportunity to identify their strengths and weaknesses. Finally, they also received a structured plan for their EQ development.

The *Emotional Intelligence Appraisal*® was designed based on the research that emotional intelligence is more than a single skill and that strong inter-correlations among the sub competencies in the EQ model hinder the construct validity needed to support their identity as independent components (Boyatzis et al., 1999; Bradberry, 2002; Mayer et al., 2002; Sala, 2002). As such, the questions on the appraisal avoid specific behavioral questions that measure only a single skill. Instead, the questions were designed to measure the sufficient behavioral outcome needed to adequately assess a particular skill. The questions on the survey describe critical aspects of each skill that indicate the presence of such skill in the behavior of the person taking the assessment. Consequently, the frequency with which an individual demonstrates behaviors related to a skill becomes the best measure of that skill.

TALENTSMART®, the company that developed the *Emotional Intelligence Appraisal*®-*Me Edition*, conducted two particular studies to examine the validity of the survey. Data from these studies revealed a significant amount of the variance in job performance and the Multi-Rater Edition (scores from others) as it pertains to the individual’s job performance. In one particular study conducted by Bradberry (2002), 273 individuals provided multi-rater feedback ratings for 36 senior leaders in three organizations of different industries. The leaders also provided self-ratings of their EQ using the Me Edition of the appraisal.

In another study conducted by Bradberry and Greaves (2003), 12,483 individuals took the *Emotional Intelligence Appraisal*®-*Me Edition* and their scores were compared to their last performance evaluation. Again, individuals included in this study represented a diverse array of industries, job class, and job level. Their scores on the appraisal demonstrated a strong
connection to their job performance, with self-ratings explaining nearly 20% of the variance in performance across positions.

The scores of the Emotional Intelligence Appraisal ® are norm converted on a 1 to 100 point scale, with a mean of 75 and standard deviation of 10. Further statistical analyses were conducted to assess the underlying factor structure of the Emotional Intelligence Appraisal ® and the Cronbach alpha values for the four scales of the Emotional Intelligence Appraisal ® - Multi-Rater Edition ranged from .85-.91.

Given the results presented in these studies, the Emotional Intelligence Appraisal ® was an appropriate tool to measure how one’s EQ, or emotional intelligence, as it illuminates the impact of an individual’s practices as a leader.

For the past decade, there has been a pervasive and simplistic version of accountability. When students do well, as measured by limited metrics such as PSAE and ACT scores, then schools, teachers, and administrators are deemed successful. When students fail, again through the lens of high-stakes tests, then schools, teachers, and administrators are deemed failures.

As such, another source for quantitative data that was examined by this researcher was based on the success of the school as measured by growth on student achievement. Given the high stakes nature of annual assessments such as the American College Testing (ACT) exam, it is undeniable that progress and achievement toward meeting this goal provides a centerpiece for many of the action steps in which the principal is involved. Again, the researcher examined if there were similarities and/or differences among the school profiles. In particular, the researcher examined if there are commonalities among student demographics and the increase in student achievement during the period of the principal’s tenure.
Last, this research also explored data from the 5 Essentials Survey. Starting in the 2012-2013 school year, all Illinois schools were required to administer the 5 Essential Survey to its faculty, students, and parents. Based on 20 years of longitudinal data from more than 400 schools, the 5 Essentials Survey was developed in hopes that it would provide schools with a comprehensive report on the key indicators that have been proven to impact positive gains in student achievement. This survey provided a data point in exploring the effectiveness of the school leader as well as the extent to which the school is considered successful.

**Quantitative Data Collection Procedures**

Every year, the Illinois Principals Association (IPA) recognizes an elementary, middle school, and high school principal with the Illinois High School Principal of the Year award. Given that there is one winner per year since its inception in 1991, a maximum of 20 participants could have participated in the study. Names of past and current awardees were obtained by contacting IPA. Because IPA had limited information it can provide with respect to the identities of the awardees, additional information about the participants were requested by filing a Freedom of Information Act (FOIA) request (see Appendix A) through the Illinois State Board of Education. This FOIA request specifically requested the first and last names of the school district’s principal, the school district’s name and number, the school district’s address, the school district’s county, phone numbers for the district, and email addresses for the principal.

Upon obtaining the list of the Illinois High School Principal of the Year awardees, the researcher contacted these individuals and solicited their participation in this study. Recognizing the benefits of electronic correspondence, an “E-mail Message for Participation in Research” (see Appendix C) was sent to the 20 Illinois Principal of the Year awardees outlining the purpose and rationale for the study. Participants had an opportunity to immediately express their willingness to
participate in the study by clicking on a website link. This link directed participants to a webpage that was created by the researcher, and contained the same information outlined in the “Consent to Participate in Research” (see Appendix D). Additionally, the webpage also included the same information as “Cover Letter” (see Appendix E), an area where participants can submit their online signature, indicating their willingness to participate in the study, and also included a text area to collect some brief demographic information for each participant.

Upon receiving their online signature, the researcher sent a password, which was specially generated for each participant, to access the online version of the *Emotional Intelligence Appraisal*® (EIA). Both the “Consent to Participate in Research” (see Appendix D) as well as “Cover Letter” (see Appendix E), were presented in person at the time of the interview.

The “Consent to Participate in Research” (see Appendix D) invited participants in phase one of the research study. This letter outlined the title of the study, the name of the researcher, the purpose of the study as well as the any potential benefits or risks to the participant for participating in this phase of the study. The letter stated that participation in this study was voluntary and participants must be willing to take the *Emotional Intelligence Appraisal*®, which was purchased by the researcher. In addition, the letter outlined details about compensation, confidentiality, the voluntary nature of the study, and contact information for the researcher, her faculty advisory and the Loyola University Office of Research Services.

In addition to submitting their online signature, individuals who chose to participate signed and sent the “Consent to Participate in Research” letter (see Appendix D), completed the demographic input form (see Appendix E), and completed the online version of the Emotional Intelligence Appraisal® (EIA). Other individuals who were contacted by the researcher communicated their non-participation by not responding to the researcher’s email invitation.
A three-phase follow up sequence was used by the researcher to remind those individuals who have not responded within ten days after the initial letter or email was sent. The reminder letter (see Appendix H) included additional copy of the original materials. After 15 days, a second reminder email (see Appendix I) was sent; and after two additional weeks, a third reminder email (see Appendix J) was sent.

Individual scores from the Emotional Intelligence Appraisal® (EIA) was immediately available to each participant upon completion of the assessment. It is for this reason that the electronic version of this instrument was used, as it facilitated a more efficient administration of the assessment. As the assessment administrator, the researcher also had immediate access to the results of each participant. Given that individual passwords were provided to each participant, the researcher also had knowledge of which participant has completed the assessment and was able to view individual results for each participant.

Quantitative Data Analysis

The researcher used the program Excel™ to organize the quantitative data collected from both the EIAs and the demographic input form. This allowed the researcher to manipulate the data for the sake of drawing connections, relationships, and patterns, with respect to participants’ emotional intelligence scores.

Phase Two: Qualitative Measure

Qualitative Data Collection

In addition to completing the Emotional Intelligence Appraisal®, the researcher also asked each principal to participate in a 60-minute interview. The purpose of the interview was to gain additional insight on the participant’s self-perception of their leadership qualities and practices that have contributed to their success as high school principals. By studying the results from the
Emotional Intelligence Appraisal® as well as the interview, the interviewer identified commonalities, with respect to personal and social competence, among the participants from the study. The researcher also offered some findings with respect to similarities and/or differences in gender, age, and years of experience among this selected group of principals.

As stated earlier, a maximum of 20 participants could have potentially participated in the study. Participants were sent a “Letter of Cooperation for Interview” (see Appendix K). This letter outlined the title of the study, the name of the researcher, the purpose of the study as well as the any potential benefits or risks to the participant for participating in this phase of the study. The letter stated that participation in this study was voluntary and participants must be willing to partake in a 60-minute interview with the researcher. In addition, the letter outlined details about compensation, confidentiality, the voluntary nature of the study, and contact information for the researcher, her faculty advisory and the Loyola University Office of Research Services. This correspondence also included a copy of the interview guide. Participants expressed their willingness to participate in the study by completing the online version of the “Letter of Cooperation for Interview” and by signing a hard copy that the researcher provided at the time of the interview.

Once the researcher has received the online signature or the signed cooperation letter and the completed Emotional Intelligence Appraisal® has been completed, the participant was contacted to establish an interview that lasted approximately 60 minutes. The researcher corresponded with the participant via email regarding a date and time for the interview.

The researcher used a semi-structured interview format. Before the interview, the researcher read the “Consent Letter for Interview” (see Appendix K) to the participant. This provided the participant with information regarding the purpose of the research, the scope of their participant, and their right to terminate participation in the study at any time. Moreover, this also
informed them of any perceived risks or benefits to participating in the research study. This was also the time when the researcher reminded each participant that the interview would be electronically recorded, transcribed, and later submitted to the participant for review. Furthermore, the participant was reminded of their right to withdraw from the interview at any time or refuse to answer any part of the interview question. Finally, the participant was asked to sign the “Consent Letter for Interview” (see Appendix K) and provided a copy of the signed letter before initiating the interview.

Interview data was transcribed (Appendix O) and participants were given the opportunity to review the transcript and an opportunity to correct contents of the interview after it has already been transcribed. This step is consistent with Merriam’s (2009) method of member checking, or providing participants the opportunity to verify the information throughout the data collection period. In fact, Merriam described this process as taking “your tentative findings back to some of the participants (from whom you derived the raw data through interviews or observations)” and asking “whether your interpretation ‘rings true’ (p. 26).

Merriam (2009) stated that “though qualitative researchers can never capture an objective ‘truth’ or ‘reality,’ there are a number of strategies that you as a qualitative researcher can use to increase the ‘credibility’ of your findings.” The concept of “credibility” is extremely important to researchers. Merriam also wrote that “the most well known strategy to shore up the internal validity of a study is what is known as triangulation” (p. 215). Thus, because this study involved high school principals of what could likely be a diverse group of participants, triangulating the data that would include the results from the Emotional Intelligence Appraisal® as well as the interview was the most logical approach for this research.
Merriam (2009) also emphasized the importance of studying “people’s conscious experience of their life world, that is, their every day life and social action” (p. 25). In order to facilitate this study, this research employed interview as one of its method for data collection. All participants were asked the same questions, and answers were electronically recorded. The researcher examined their answers, which were later organized into clusters or themes. By conducting these interviews and the subsequent study of the data retrieved, the researcher examined the phenomena commonly experienced by all participants in their role as high school principals.

The interview questions were developed in a manner that allowed the researcher to examine the relationship between the participant’s emotional intelligence and his/her awareness of how these emotional behaviors influenced his/her practices as a school leader. Kvale (1996) stated that qualitative research interviews provide a means for the subjects being studied to articulate how their perspective and their experiences can guide the understanding of the situation being studied. Because interviews are based on conversations about everyday life, the “careful questioning and listening approach with the purpose of obtaining carefully tested knowledge” (p. 6) may not necessarily lead to objective information but can provide meaningful relations for the research to interpret.

While qualitative research has received its fair share of criticism for it can be viewed upon as being ‘unscientific,’ Kvale (1996) argued that qualitative research does not have to look objectively, since objectivity in itself is a rather subjective notion. Furthermore, qualitative research interviews can also be objective through its structure that allows the “investigated object to speak” and by allowing the interviewee to express the real nature of the object (p. 169).
The interview questions were developed to focus on the participant’s reaction to his/her results from the Emotional Intelligence Appraisal®, the connections he/she can make between these findings and his/her development and practices as a high school principal, and his/her opinion on any implication that emotional intelligence may have for the professional development of future high school principals. The interview questions were as follows:

1. How would you describe your style of leadership?

2. Describe a time when you learned that something you said or did as a principal had a negative impact on a faculty member. How did you learn about it and what did you do when you learned this information?

3. Describe how you would handle a conversation with a teacher with whom you need to discuss his/her poor performance.

4. What evidence might show that you have created a positive climate or culture in the school?

5. Describe a time when you were able to get members of the faculty to follow you around an unpopular issue.

6. How would you define emotional intelligence?

7. What are your impressions of your Emotional Intelligence Appraisal® results?

8. What do you think is your strongest leadership trait that led to your recognition as high school principal of the year?

9. How has research on emotional intelligence influenced leadership/principal development?

10. What type of training or professional development has influenced your emotional intelligence?

11. Do you believe your strengths as demonstrated in the Emotional Intelligence Appraisal® are innate or have they developed over time?

12. If you had to take the Emotional Intelligence Appraisal® when you first started in your role as a principal, do you think your score would have been the same? Why or why not?
13. In what ways has your emotional intelligence influenced your role as a principal?

14. Self-awareness, self-management, social awareness and relationship management are the domains that comprise emotional intelligence. Which one, in your opinion, has had the most effect in your success as a leader?

15. In your opinion, how might emotional intelligence contribute to the preparation of future high school principals?

During this interview process the researcher listened for themes in the responses that were later analyzed. As Merriam stated regarding the collection process, “The idea is to stimulate critical thinking about what you see and to become more than a recording machine” (2009, p.172).

**Qualitative Data Analysis**

To provide a way of sorting, organizing, and reducing the data, the researcher transcribed the interview and responses were coded using the interview transcripts. The researcher then referred to the process described by Zhang and Wildemuth (2009) to prepare and code the data gathered from the interview. This process is outlined in Figure 7.

Through this process there was recognition that the analysis was emergent and not procedural. As Merriam stated: “A qualitative design is emergent. The researcher usually does not know ahead of time every person who might be interviewed, all the questions that might be asked, or where to look next unless data area analyzed as they are being collected” (p. 169).

In addition to the Emotional Intelligence Appraisal® and the interview, the researcher also reviewed the Adequate Yearly Progress (AYP) data as reported on the Illinois School Report Card for each participant’s school. The researcher used these data in drawing relationships between the participants, their emotional intelligence level, and the degree to which they have attained success as principals. Additionally, the researcher also collected demographic data for each participant such as age, gender, number of years of experience as principal, and highest educational degree
attained. This data sorted the participants and also generate some patterns that would later be discussed in the conclusions of this study.

<table>
<thead>
<tr>
<th>STEP</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Prepare the data</td>
<td>Interview transcribed and prepared as written copy.</td>
</tr>
<tr>
<td>2. Define the Unit of Analysis</td>
<td>Determine level of text that will be used for analysis (e.g. word, sentence, or paragraph).</td>
</tr>
<tr>
<td>3. Develop Categories and a Coding Scheme</td>
<td>Generate list of categories and codes that will be used for data analysis.</td>
</tr>
<tr>
<td>4. Test Coding Scheme on a Sample of Text</td>
<td>Determine level of consistency of text coding.</td>
</tr>
<tr>
<td>5. Code All the Text</td>
<td>Apply coding to the entire text once consistency has been achieved.</td>
</tr>
<tr>
<td>6. Assess Coding Consistency</td>
<td>Recheck coding consistency</td>
</tr>
<tr>
<td>7. Draw Conclusions from the Coded Data</td>
<td>Make sense of themes that emerged from coding</td>
</tr>
<tr>
<td>8. Report Methods and Findings</td>
<td>Report decisions and practices concerning the coding process.</td>
</tr>
</tbody>
</table>

Adapted from *Qualitative analysis of content* (Zhang & Wildemuth, 2009).

**Figure 7.** Process for Analysis of Qualitative Data Used by Researcher to Generate Coding Categories

The emotional intelligence framework guided the process of identifying any themes that emerged from the collected data. That is, how might the emotional intelligence framework guide the understanding of how a principal may use his or her awareness and management of his/her emotions as well as his or her awareness and management of others? The first dimension of the framework includes personal competencies. In describing leadership that requires managing with the heart, Goleman (2011) stated the following:

Leadership is not domination, but the part of persuading people to work toward a common goal. And, in terms of managing our own career, there may be nothing more essential than recognizing our deepest feelings about what we do – and what changes might make us more truly satisfied with our work. (Managing with Heart section, para. 10)
In exploring the relationship between participants’ emotional intelligence, this research explored the extent to which principals’ understanding of their own emotions and their ability to harness it might have contributed to their success. That is, is a principal’s self-awareness and self-management of emotions a predictor of their success as leaders? Because personal competencies are closely related to social competencies, the second dimension of the emotional intelligence framework, the researcher also drew connections between the data and the extent to which principals have utilized their skills in this area as they relate to various people within the school. In explaining the power of socially intelligent leaders, Goleman (2011) clarifies that it is not about protecting every person from every possible source of tension or stress. However, socially intelligent leaders are those who act as “secure bases” and are sources of protection, energy and comfort and that these, in turn, allow others to free their own energy (Bosses: The Good, The Bad, and the Ugly section, para. 4). If successful leaders are those who exhibit social intelligence, this research gleaned on the practices demonstrated by the participants of this study to understand how social intelligence manifested itself within the role of principalship. Finally, the understanding of these leadership practices also allowed the researcher to explore how such practices might inform leadership development. If emotional intelligence is a predictor of successful leadership, should emotional intelligence be a component of principal preparation programs?

Figure 8 displays the components that comprised the quantitative and qualitative data collection and analysis.
In describing the meaning of reflexivity, Schwandt (2003) states that it is a “process of critical self-reflection on one’s biases, theoretical predispositions, preferences, and so forth. It can point to the fact that the inquirer is part of the setting, context, and social phenomenon he or she seeks to understand” (p. 260). As such, it is important to recognize that this research contained some limitations due to its design and methodology:

1. The number of participants was limited to five participants and was those who specifically worked or have worked in the high school setting.

2. The Emotional Intelligence Appraisal® is a self-reported measurement tool. As such, results relied on the respondent’s own perception.
3. The researcher is a high school administrator who aspires to become a high school principal. Within this role, the researcher was exposed to the possibility of encountering acquaintances either directly or indirectly.

4. The researcher's work experience as a high school administrator has exposed her to working with school leaders whose lack of emotional intelligence was regarded as a reason for their fall as leaders.

**Summary**

Central to the work involved in promoting student success are the efforts of the principal to harness the knowledge and the talent of individuals who are considered to have “front line” access when it comes to influencing student achievement. Bolman and Deal (2002) claimed that leading with the soul and spirit is precisely the type of leadership needed to meet the accountability demands of today’s educational system. To confront the leadership demands of schools, principals require focus, passion, wisdom, courage, and integrity. An underlying assumption of these traits is the principal’s emotional fortitude. Emotional intelligence is as complicated as it is organic, in that its foundation rests on an individual’s awareness of himself/herself and how these emotions drive his/her ability to relate with others.

This research explored the relationships among the principals’ emotional intelligence, their journey to greatness as leaders, and how such efforts contributed to the success of the people and the organization that they lead. This chapter described the methodological design that this research study employed. This research explored the relationship between a high school principal’s emotional intelligence and his/her leadership practices through the examination of the following questions:
1. What are the attributes of high school principals who have been recognized by their peers and were recipients of the Illinois Principal of the Year award?

2. What are the attributes of the schools that these principals lead as measured by student achievement growth and the 5 Essentials Survey?

3. What is the emotional intelligence aptitude of these principals as measured by the Emotional Intelligence Appraisal®?

4. How might a high school principal’s emotional intelligence contribute to his/her leadership practices and consequently, his/her success as an instructional leader?

5. Finally, what might be some implications for principal preparation programs, as well as leadership professional development, for high school principals, as they aspire to school leadership distinction?
CHAPTER IV
PRESENTATION OF THE DATA

Introduction

The purpose of this research was to explore the relationship between a high school principal’s emotional intelligence and his or her success as a leader. For the context of this research, the basis for success was based on the following questions:

1. What are the attributes of high school principals who have been recognized by their peers and were recipients of the Illinois Principal of the Year award?

2. What are the attributes of the schools that these principals lead as measured by student achievement growth and the 5 Essentials Survey?

3. What is the emotional intelligence aptitude of these principals as measured by the Emotional Intelligence Appraisal®?

4. How might a high school principal’s emotional intelligence contribute to his/her leadership practices and consequently, his/her success as an instructional leader?

5. Finally, what might be some implications for principal preparation programs, as well as leadership professional development, for high school principals, as they aspire to school leadership distinction?
Figure 9. Triangulation of Data

To better examine these questions, this research study utilized a triangulation of data to determine common themes that emerged from multiple sources of data as described by Figure 9. Additionally, Figure 10 displays the components that comprised the quantitative and qualitative data collection and analysis of this research.

Illinois High School Principal of the Year

The Awards for Excellence™ rubric for the Illinois High School Principal of the Year is used to evaluate the nomination for such an award and indicates that honor is given to the principal who:

- Demonstrates a positive impact on education and advocacy for children;
- Ensures the school climate is positive and reflects high staff and student morale;
- Demonstrates creativity and imagination in bringing about positive change;
- Willing to take risks to improve student learning;
- Moves actively to implement the goals and objectives of the school;
- Works collaboratively with teachers and other staff to improve the educational program and student achievement;
- Anticipates emerging problems and acts effectively to resolve them; and
- Involves the community in the life of the school and uses community resources for students.

**Figure 10. Steps for Data Gathering and Analysis**

The Illinois Principal of the Year Award is one of the Awards for Excellence sponsored by the Illinois Principals Association (IPA). In an effort to provide a more focused examination of leadership, this research included the profiles of these high school principal awardees. Nominations for this award were submitted by superintendents, school board members, community members, teachers or colleagues – that is, the very people who bear witness to the work of the principal. Consequently, winners were chosen by a committee that consists of past IPA presidents, suggesting that accolades were awarded by the individuals who have the familiarity and understanding of the important work performed by principals.
By selecting a non-randomized group of participants whose success is evidenced through peer recognition, this researcher generated some patterns with respect to the types of behaviors, skills, and accomplishments that contribute to what may be defined as a successful high school principal. In order to explore the question of what it takes to be a successful high school principal, past and current recipients of IPA’s Illinois High School Principal of the Year Award between 1991-2012 were identified. Given that there was one winner per year (there were no winners during 2001 and 2002), a maximum of 20 participants could have potentially participated in the study. Female principals were underrepresented in this pool of participants with only 2 female high school principal awardees among the 20. All participants in this study consisted of male high school principals.

**Description of Participants**

Five high school principals who had earned the Illinois High School Principal of the Year award participated in this study. Each participant was assigned a letter from A to E and a number of 1 to 5 to correspond to the school for which they received the Illinois High School Principal of the Year. The table below displays demographic information about these participants. Participants’ years of experience ranged from 6 to 18 years, with four participants having held at least two principalships. All participants had earned a Master’s Degree and three out of five participants had also earned a Doctorate degree. The route to principalship started with each participant as a classroom teacher. Three of the participants had coaching experience and also worked as deans. Principal E worked in the corporate world and considers education as his second career. Two principals have retired. Two principals are still working in the same district where the award was won; Principal C is still working as principal while Principal E works in a different role as Assistant Superintendent of Teaching and Learning.
### Table 1

**Demographic Information of Participants**

<table>
<thead>
<tr>
<th>Principal</th>
<th>School</th>
<th>Age</th>
<th>Total number of years as principal</th>
<th>Number of principalships held</th>
<th>Highest Educational Degree Earned</th>
<th>Prior position/s before becoming a principal</th>
<th>Still working as Principal?</th>
<th>Still working in district?</th>
<th>Current Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>1</td>
<td>60 or older</td>
<td>18</td>
<td>2</td>
<td>Doctorate</td>
<td>Classroom Teacher / Coach / Dean</td>
<td>No</td>
<td>No</td>
<td>Retired</td>
</tr>
<tr>
<td>B</td>
<td>2</td>
<td>60 or older</td>
<td>15</td>
<td>3</td>
<td>Masters</td>
<td>Classroom Teacher / Coach</td>
<td>No</td>
<td>No</td>
<td>Retired</td>
</tr>
<tr>
<td>C</td>
<td>3</td>
<td>40-49</td>
<td>10</td>
<td>2</td>
<td>Masters</td>
<td>Classroom Teacher / Coach / Dean</td>
<td>Yes</td>
<td>Yes</td>
<td>Principal</td>
</tr>
<tr>
<td>D</td>
<td>4</td>
<td>50-59</td>
<td>7</td>
<td>2</td>
<td>Doctorate</td>
<td>Classroom Teacher</td>
<td>No</td>
<td>No</td>
<td>Superintendent</td>
</tr>
<tr>
<td>E</td>
<td>5</td>
<td>40-49</td>
<td>6</td>
<td>1</td>
<td>Doctorate</td>
<td>Corporate world / Classroom Teacher</td>
<td>No</td>
<td>Yes</td>
<td>Assistant Superintendent</td>
</tr>
</tbody>
</table>

This study included five high schools that are located in four different suburban counties in Illinois. Socioeconomic and demographic characteristics for these schools are also displayed below in Tables 2 and 3.

### Table 2

**Socioeconomic and Demographic Data for Schools 1-5**

<table>
<thead>
<tr>
<th>School</th>
<th>County</th>
<th>Principal</th>
<th>White</th>
<th>Black</th>
<th>Hispanic</th>
<th>Asian</th>
<th>Hawaiian/Pacific Islander</th>
<th>American Indian</th>
<th>Percent Low Income</th>
<th>Percent Limited English Proficient</th>
<th>Percent IEP</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Rock Island</td>
<td>A</td>
<td>63.7</td>
<td>7.3</td>
<td>22.6</td>
<td>2.4</td>
<td>0.0</td>
<td>0.1</td>
<td>38.5</td>
<td>2.8</td>
<td>12.1</td>
</tr>
<tr>
<td>2</td>
<td>DuPage</td>
<td>B</td>
<td>66.5</td>
<td>6.1</td>
<td>8.4</td>
<td>15.6</td>
<td>0.1</td>
<td>0.1</td>
<td>16.3</td>
<td>2.1</td>
<td>9.8</td>
</tr>
<tr>
<td>3</td>
<td>McHenry</td>
<td>C</td>
<td>89.5</td>
<td>0.6</td>
<td>6.6</td>
<td>0.9</td>
<td>0.0</td>
<td>0.3</td>
<td>18.2</td>
<td>0.5</td>
<td>10.5</td>
</tr>
<tr>
<td>4</td>
<td>Cook</td>
<td>D</td>
<td>54.6</td>
<td>26.7</td>
<td>9.2</td>
<td>3.4</td>
<td>0.1</td>
<td>0.2</td>
<td>22.9</td>
<td>0.2</td>
<td>17.3</td>
</tr>
<tr>
<td>5</td>
<td>Cook</td>
<td>E</td>
<td>39.8</td>
<td>2.4</td>
<td>50.7</td>
<td>5.6</td>
<td>0.1</td>
<td>0.5</td>
<td>42.4</td>
<td>10.1</td>
<td>16.3</td>
</tr>
</tbody>
</table>
Table 3

Socioeconomic and Demographic Data for Schools 1-5

<table>
<thead>
<tr>
<th>Principal</th>
<th>School</th>
<th>Total Enrollment as of 2012-2013 SY</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>1</td>
<td>2,131</td>
</tr>
<tr>
<td>B</td>
<td>2</td>
<td>3,086</td>
</tr>
<tr>
<td>C</td>
<td>3</td>
<td>834</td>
</tr>
<tr>
<td>D</td>
<td>4</td>
<td>1,933</td>
</tr>
<tr>
<td>E</td>
<td>5</td>
<td>1,877</td>
</tr>
</tbody>
</table>

These data display a range of differences among the schools with respect to student population (with School C having only 834 students and School B having over 3,086 students) and diversity. School C has the least diversity in student ethnicity with 89.5% of its population as white students. School B has the highest percentage of Asian students (15.6%) and the majority of students from School E are of Hispanic origin (50.7%). School E has the highest percentage of low-income students (42.4%), twice as high as that of School B and C with 16.3% and 18.2% respectively. School E also has the highest percentage of students with limited English proficiency (10.1%).

In that one of the components of success that this study considered was that of student achievement, Table 4 displays the student growth data from each of the high schools, starting with the year before the participant won the award, the year the award was received and the most recent school year for which these data were available.
Table 4

*Percent of Students Meeting or Exceeding State Standards on PSAE*

<table>
<thead>
<tr>
<th>Principal</th>
<th>Reading year before award</th>
<th>Math year before award</th>
<th>Science year before award</th>
<th>Reading year of award</th>
<th>Math year of award</th>
<th>Science year of award</th>
<th>Reading 2012-2013</th>
<th>Math 2012-2013</th>
<th>Science 2012-2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>56.9</td>
<td>58.5</td>
<td>54.9</td>
<td>46.9</td>
<td>53.8</td>
<td>45.7</td>
<td>54.2</td>
<td>55.6</td>
<td>49.5</td>
</tr>
<tr>
<td>B</td>
<td>76.2</td>
<td>78.4</td>
<td>77.5</td>
<td>80.5</td>
<td>78.1</td>
<td>78.9</td>
<td>81.1</td>
<td>79.4</td>
<td>80.2</td>
</tr>
<tr>
<td>C</td>
<td>64.1</td>
<td>58.2</td>
<td>62</td>
<td>56.5</td>
<td>51.2</td>
<td>57</td>
<td>65.7</td>
<td>53.5</td>
<td>56.6</td>
</tr>
<tr>
<td>D</td>
<td>52.2</td>
<td>62.7</td>
<td>55.5</td>
<td>47.8</td>
<td>61.7</td>
<td>54.3</td>
<td>59.1</td>
<td>55.7</td>
<td>54.6</td>
</tr>
<tr>
<td>E</td>
<td>51</td>
<td>66.4</td>
<td>51.7</td>
<td>51.8</td>
<td>61.4</td>
<td>49.8</td>
<td>51.8</td>
<td>61.4</td>
<td>49.8</td>
</tr>
</tbody>
</table>

Source: Data retrieved from www.isbe.state.il.us.

Each of the school experienced a decrease in the percentage of students meeting or exceeding state standards in at least one of the subject areas included in the PSAE (Prairie State Achievement Exam). While there is no particular pattern among the data set, all of the schools experienced an increase and a decrease in different subject areas from the time the award was won and the most recent school year (2012-2013). It is important to note that school E has the same data for the year of the award and the most recent school year. Only one participant is still the principal of the same high school for which the award was won.

**5 Essentials Survey**

Starting in the 2012-2013 school year, all Illinois schools were required to administer the *5 Essentials Survey* to their faculty, students, and parents. Based on 20 years of longitudinal data from more than 400 schools, the *5 Essentials Survey* was developed in hopes that it would provide schools with a comprehensive report on the key indicators that have been proven to impact positive gains in student achievement. Data from this survey were intended to provide an
additional data point in exploring the effectiveness of the school leader as well as the extent to which the school is considered successful.

However, a press release written by Dr. Christopher A. Koch (Illinois State Board of Education, n.d. [Retrieved from: http://iirc.niu.edu/Documents/surveyoflearningconditions/teacher%20survey/5eteachersurveyrpt_1902220300013_e.pdf]), Illinois State Superintendent of Education, explained that “the State Board has decided not to publicly release the scored 5 Essentials Reports for individual schools in 2013” for the following reasons:

- First, ISBE has decided to use this year to allow educators and school leaders to familiarize themselves with the tool, survey and items. This will allow school leaders to better understand how to use the tool for future school improvement.
- Second, ISBE wants to explore the relationship between survey results and school outcomes statewide.
- Third, ISBE and the 5 Essentials Survey researchers will review all survey items for their applicability statewide prior to the next administration of the survey in spring 2014.

Nevertheless, the State Board did publish the survey questions and responses that were collected from schools that completed the survey. Two sets of reports were available and were differentiated between responses received from students and those provided by teachers. This research includes data from the teacher survey in that the questions on this report are aligned to the purpose of this study. Moreover, the researcher has selected to include responses that have relevance to the teachers’ perceptions of the principal’s leadership and any other questions that may define the relationship between the principal and the teachers. These questions are presented below and the subsequent chart presents an overview of the responses for each school, grouped by percentage of teachers who submitted their response (University of Chicago, 2013, 5
1. To what extent do you feel respected by your principal?
2. The principal has confidence in the expertise of the teachers.
3. I trust the principal at his or her word.
4. It’s OK in this school to discuss feelings, worries, and frustrations with the principal.
5. The principal takes a personal interest in the professional development of teachers.
6. The principal looks out for the personal welfare of the faculty members.
7. The principal places the needs of children ahead of personal and political interests.
8. The principal at this school is an effective manager who makes the school run smoothly.
9. Makes clear to the staff his or her expectations for meeting instructional goals.
10. [The principal] Communicates a clear vision for our school.
13. [The principal] Presses teachers to implement what they have learned in professional development.

It is important to note that data for School 5 was not available as the school decided not to take the survey. However, the school did administer its own school climate survey, and as with the 5 Essentials Survey, the researcher selected the questions with the most relevance to this study. Results from School 5’s School Climate Survey are presented in Table 5.

Similarly, Table 6 presents the responses from the 5 Essentials Survey for schools 1 through 4, organized by the percentage of teachers who indicated that they either agreed or strongly agreed with the statement on the survey.
### Table 5

*Questions from School 5’s School Climate Survey that Best Correspond with 5 Essentials Survey as Selected by Researcher*

<table>
<thead>
<tr>
<th>QUESTION</th>
<th>% Agree or Strongly Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>The principal makes decisions that are in the best interest of the students. (N=59)</td>
<td>90</td>
</tr>
<tr>
<td>I know what the principal expects of me as a staff member at this school. (N=57)</td>
<td>86</td>
</tr>
<tr>
<td>The principal and administrative team encourage staff members to be involved in making decisions for the school. (N=58)</td>
<td>74</td>
</tr>
<tr>
<td>The principal and administrative team provide useful feedback about my professional practices. (N=58)</td>
<td>72</td>
</tr>
<tr>
<td>My supervisor has confidence in my ability to do my job. (N=58)</td>
<td>98</td>
</tr>
<tr>
<td>I am encouraged to take risks by trying new techniques and ideas to improve my professional work/skills. (N=57)</td>
<td>93</td>
</tr>
<tr>
<td>The administrative team keeps staff members focused on shared purpose, continuous improvement and collaboration. (N=58)</td>
<td>87</td>
</tr>
<tr>
<td>The principal makes decisions that are in the best interest of the students. (N=59)</td>
<td>90</td>
</tr>
</tbody>
</table>
## Table 6

**Selected Questions and Responses from Teacher Version of 5 Essentials Survey, Schools 1-4**

<table>
<thead>
<tr>
<th>Percentage</th>
<th>School 1</th>
<th>School 2</th>
<th>School 3</th>
<th>School 4</th>
</tr>
</thead>
</table>
| < 50% of teachers agreed or strongly agreed to the following statements | • [The principal] Participates in instructional planning with teams of teachers.  
• [The principal] Knows what’s going on in my classroom. |
| 50%-59% of teachers agreed or strongly agreed to the following statements | • It’s OK in this school to discuss feelings, worries, and frustrations with the principal. | • [The principal] Knows what’s going on in my classroom.  
• It’s OK in this school to discuss feelings, worries, and frustrations with the principal. | • [The principal] Participates in instructional planning with teams of teachers.  
• It’s OK in this school to discuss feelings, worries, and frustrations with the principal. | • [The principal] Participates in instructional planning with teams of teachers.  
• It’s OK in this school to discuss feelings, worries, and frustrations with the principal.  
| 60 %-70% of teachers agreed or strongly agreed to the following statements | • The principal looks out for the personal welfare of the faculty members.  
• [The principal] Participates in instructional planning with teams of teachers.  
• Makes clear to the staff his or her expectations for meeting instructional goals.  
• I trust the principal at his or her word.  
• The principal at this school is an effective manager who makes the school run smoothly.  
• [The principal] Participates in instructional planning with teams of teachers.  
• Communicates a clear vision for our school. | • The principal looks out for the personal welfare of the faculty members.  
• [The principal] Participates in instructional planning with teams of teachers.  
• Makes clear to the staff his or her expectations for meeting instructional goals.  
• I trust the principal at his or her word.  
• The principal at this school is an effective manager who makes the school run smoothly.  
• [The principal] Participates in instructional planning with teams of teachers.  
• Communicates a clear vision for our school. | • The principal looks out for the personal welfare of the faculty members.  
• [The principal] Participates in instructional planning with teams of teachers.  
• Makes clear to the staff his or her expectations for meeting instructional goals.  
• I trust the principal at his or her word.  
• The principal at this school is an effective manager who makes the school run smoothly.  
• [The principal] Participates in instructional planning with teams of teachers.  
• Communicates a clear vision for our school. | • The principal looks out for the personal welfare of the faculty members.  
• [The principal] Participates in instructional planning with teams of teachers.  
• Makes clear to the staff his or her expectations for meeting instructional goals.  
• I trust the principal at his or her word.  
• The principal at this school is an effective manager who makes the school run smoothly.  
• [The principal] Participates in instructional planning with teams of teachers.  
• Communicates a clear vision for our school. |
tracks student academic progress.

71%-80% of teachers agreed or strongly agreed to the following statements

• [The principal] Sets high standards for student learning.
• [The principal] Presses teachers to implement what they have learned in professional development.
• The principal places the needs of children ahead of personal and political interests.
• Makes clear to the staff his or her expectations for meeting instructional goals.
• The principal has confidence in the expertise of the teachers.
• The principal at this school is an effective manager who makes the school run smoothly.
• The principal takes a personal interest in the professional development of teachers.
• [The principal] Communicates a clear vision for our school.
• [The principal] Presses teachers to implement what they have learned in professional development.
• The principal has confidence in the expertise of the teachers.
• Makes clear to the staff his or her expectations for meeting instructional goals.
• [The principal] Carefully tracks student academic progress.
• [The principal] Sets high standards for student learning.
• [The principal] Understands how children learn.
• The principal places the needs of children ahead of personal and political interests.
• [The principal] Presses teachers to implement what they have learned in professional development.
• The principal takes a personal interest in the professional development of teachers.
• [The principal] Communicates a clear vision for our school.
• [The principal] Understands how children learn.
• I trust the principal at his or her word.
• The principal takes a personal interest in the professional development of teachers.
• The principal at this school is an effective manager who makes the school run smoothly.
• The principal places the needs of children ahead of personal and political interests.
• [The principal] Communicates a clear vision for our school.
• [The principal] Understands how children learn.
| 81%-90% of teachers indicated some/to a great extent for the following question | • Makes clear to the staff his or her expectations for meeting instructional goals.  
• [The principal] Presses teachers to implement what they have learned in professional development.  
• [The principal] Carefully tracks student academic progress.  
• [The principal] Sets high standards for student learning. |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>60 %-70% of teachers indicated some/to a great extent for the following question</td>
<td>• To what extent do you feel respected by your principal?</td>
</tr>
</tbody>
</table>
| 71%-80% of teachers indicated some/to a great extent for the following question | • To what extent do you feel respected by your principal?  
• To what extent do you feel respected by your principal?  
• To what extent do you feel respected by your principal? |
Data from *Emotional Intelligence Appraisal* ®

Another dimension that this study considered was data from the *Emotional Intelligence Appraisal* ®. All five participants took this self-assessment that was designed to identify an individual’s strengths and weaknesses in four competencies that include self-awareness, self-management, social awareness, and relationship management.

<table>
<thead>
<tr>
<th>PERSONAL COMPETENCE</th>
<th>SOCIAL COMPETENCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self-Awareness</td>
<td>Social Awareness</td>
</tr>
<tr>
<td>• Emotional Awareness</td>
<td>• Empathy</td>
</tr>
<tr>
<td>• Accurate Self-Assessment</td>
<td>• Organizational Awareness</td>
</tr>
<tr>
<td>• Self-confidence</td>
<td>• Service</td>
</tr>
<tr>
<td>Self-Management</td>
<td>Relationship Management</td>
</tr>
<tr>
<td>• Self-control</td>
<td>• Inspirational leadership</td>
</tr>
<tr>
<td>• Transparency (Trustworthiness)</td>
<td>• Influence</td>
</tr>
<tr>
<td>• Adaptability</td>
<td>• Developing Others</td>
</tr>
<tr>
<td>• Achievement</td>
<td>• Change Catalyst</td>
</tr>
<tr>
<td>• Initiative</td>
<td>• Conflict Management</td>
</tr>
<tr>
<td>• Optimism</td>
<td>• Building bonds</td>
</tr>
<tr>
<td></td>
<td>• Teamwork and Collaboration</td>
</tr>
</tbody>
</table>

Adapted from Primal Leadership: Learning to Lead with Emotional Intelligence (Goleman, Boyatzis, & McKee, 2002, p. 39)

*Figure 11. Emotional Intelligence Framework*

The *Emotional Intelligence Appraisal* ® was designed based on the research that emotional intelligence is more than a single skill and that strong inter-correlations among the sub competencies in the EQ model hinder the construct validity needed to support their identity as independent components (Boyatzis et al., 1999; Bradberry, 2002; Mayer et al., 2002; Sala, 2002). As such, the questions on the appraisal avoid specific behavioral questions that measure only a single skill. Instead, the questions were designed to measure the sufficient behavioral outcome needed to adequately assess a particular skill. The questions on the survey describe critical aspects of each skill that indicate the presence of such skill in the behavior of the person taking the
assessment. Consequently, the frequency with which an individual demonstrates behaviors related to a skill becomes the best measure of that skill.

The scores of the Emotional Intelligence Appraisal® are norm converted on a 1 to 100 point scale, with a mean of 75 and standard deviation of 10. A score of 79 or below indicate an area of growth, 80 and above indicate an area of strength, and a score of 90 and above indicate exceptional strength in that particular area (p.12). Figure 12 provides a guide in interpreting the scores of the Emotional Intelligence Appraisal®.

Note: Used with permission from TalentSmart. © 2014 TalentSmart Inc.

Figure 12. A Guide to Interpreting Emotional Intelligence Appraisal® Score
Semi-Structured One-on-One Interviews

In addition to completing the *Emotional Intelligence Appraisal ®*, the researcher also asked each principal to participate in a 60-minute interview. The purpose of the interview was to gain additional insight on the participant’s self-perception of their leadership qualities and practices that have contributed to their success as high school principals. The interview questions were developed in a manner that allowed the researcher to examine the relationship between the participant’s emotional intelligence and his/her awareness of how these emotional behaviors influenced his/her practices as a school leader. The interview questions were developed to focus on the participant’s reaction to his/her results from the *Emotional Intelligence Appraisal®,* the connections he/she can make between these findings and his/her development and practices as a high school principal, and his/her opinion on any implication that emotional intelligence may have for the professional development of future high school principals. The interview questions were as follows:

1. How would you describe your style of leadership?
2. Describe a time when you learned that something you said or did as a principal had a negative impact on a faculty member. How did you learn about it and what did you do when you learned this information?
3. Describe how you would handle a conversation with a teacher with whom you need to discuss his/her poor performance.
4. What evidence might show that you have created a positive climate or culture in the school?
5. Describe a time when you were able to get members of the faculty to follow you around an unpopular issue.
6. How would you define emotional intelligence?
7. What are your impressions of your *Emotional Intelligence Appraisal ®* results?
8. What do you think is your strongest leadership trait that led to your recognition as high school principal of the year?

9. How has research on emotional intelligence influenced leadership/principal development?

10. What type of training or professional development has influenced your emotional intelligence?

11. Do you believe your strengths as demonstrated in the *Emotional Intelligence Appraisal*® are innate or have they developed over time?

12. If you had to take the *Emotional Intelligence Appraisal*® when you first started in your role as a principal, do you think your score would have been the same? Why or why not?

13. In what ways has your emotional intelligence influenced your role as a principal?

14. Self-awareness, self-management, social awareness and relationship management are the domains that comprise emotional intelligence. Which one, in your opinion, has had the most effect in your success as a leader?

15. In your opinion, how might emotional intelligence contribute to the preparation of future high school principals?

**Individual Principal Profiles**

The following section presents a comprehensive description of each participant through the three lenses of this research – the emotional intelligence appraisal, their respective school’s profile as depicted by growth in student achievement and *5 Essentials Survey*, and finally - responses from the semi-structured one-on-one interview. Figure 13 provides an illustration of the framework by which each award-winning high school principal’s leadership will present profile.
Principal A

Principal A was the principal in School 1 the year before the award. During this school year, the percentages of students who met or exceeded standards were at 56.9% for Reading, 58.5% for Math, and 54.9 for Science. During the school year when Principal A was recognized as Illinois High School Principal of the Year, the percentage of students who met or exceeded standards declined with 46.9% in Reading, 53.8% in Math and 45.7% in Science. Principal A was no longer in School 1 during the 2012-2013 school year. During this school year, the percentages of students who met or exceeded standards were at 54.2% in Reading, 55.6% in Math, and 49.5% in Science.
School 1 Profile (Principal A)

Figure 14. Student Achievement Growth for School 1

5 Essentials Survey Results for School 1

Nearly 69% of teachers from School 1 submitted a response for the 5 Essentials Survey. The following section presents a closer look at their response.

Figure 15. Teacher Response Rate from School 1’s 5 Essentials Survey
Table 7

**School 1 Responses from Selected Questions, 2013 Teacher Survey: 5 Essentials Survey**

<table>
<thead>
<tr>
<th>QUESTION</th>
<th>Not at All</th>
<th>A Little</th>
<th>Some</th>
<th>To a Great Extent</th>
<th>Total % Some/To a Great Extent</th>
</tr>
</thead>
<tbody>
<tr>
<td>To what extent do you feel respected by your principal?</td>
<td>9.3</td>
<td>18.7</td>
<td>37.3</td>
<td>34.7</td>
<td>72</td>
</tr>
<tr>
<td>The principal has confidence in the expertise of the teachers.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Strongly Disagree</td>
<td>Disagree</td>
<td>Agree</td>
<td>Strongly Agree</td>
<td>Total % Agree/Strongly Agree</td>
</tr>
<tr>
<td></td>
<td>4</td>
<td>16</td>
<td>61.3</td>
<td>18.7</td>
<td>80</td>
</tr>
<tr>
<td>I trust the principal at his or her word.</td>
<td>10.7</td>
<td>17.3</td>
<td>57.3</td>
<td>14.7</td>
<td>72</td>
</tr>
<tr>
<td>It’s OK in this school to discuss feelings, worries, and frustrations with the principal.</td>
<td>20</td>
<td>26.7</td>
<td>41.3</td>
<td>12</td>
<td>53.3</td>
</tr>
<tr>
<td>The principal takes a personal interest in the professional development of teachers.</td>
<td>8.2</td>
<td>26</td>
<td>49.3</td>
<td>16.4</td>
<td>65.7</td>
</tr>
<tr>
<td>The principal looks out for the personal welfare of the faculty members.</td>
<td>9.6</td>
<td>21.9</td>
<td>57.5</td>
<td>11</td>
<td>68.5</td>
</tr>
<tr>
<td>The principal places the needs of children ahead of personal and political interests.</td>
<td>8</td>
<td>16</td>
<td>57.3</td>
<td>18.7</td>
<td>76</td>
</tr>
<tr>
<td>The principal at this school is an effective manager who makes the school run smoothly.</td>
<td>9.6</td>
<td>23.3</td>
<td>52.1</td>
<td>15.1</td>
<td>67.2</td>
</tr>
<tr>
<td>Makes clear to the staff his or her expectations for meeting instructional goals.</td>
<td>6.8</td>
<td>13.7</td>
<td>64.4</td>
<td>15.1</td>
<td>79.5</td>
</tr>
<tr>
<td>[The principal] Communicates a clear vision for our school.</td>
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<td>26</td>
<td>53.4</td>
<td>12.3</td>
<td>65.7</td>
</tr>
<tr>
<td>[The principal] Understands how children learn.</td>
<td>9.6</td>
<td>21.9</td>
<td>54.8</td>
<td>13.7</td>
<td>68.5</td>
</tr>
<tr>
<td>[The principal] Sets high standards for student learning.</td>
<td>9.6</td>
<td>19.2</td>
<td>53.4</td>
<td>17.8</td>
<td>71.2</td>
</tr>
<tr>
<td>[The principal] Presses teachers to implement what they have learned in professional development.</td>
<td>5.6</td>
<td>16.9</td>
<td>70.4</td>
<td>7</td>
<td>77.4</td>
</tr>
<tr>
<td>[The principal] Carefully tracks student academic progress.</td>
<td>4.2</td>
<td>25.4</td>
<td>59.2</td>
<td>11.3</td>
<td>70.5</td>
</tr>
<tr>
<td>[The principal] Knows what’s going on in my classroom.</td>
<td>13.7</td>
<td>43.8</td>
<td>38.4</td>
<td>4.1</td>
<td>42.5</td>
</tr>
<tr>
<td>[The principal] Participates in instructional planning with teams of teachers.</td>
<td>29.2</td>
<td>31.9</td>
<td>36.1</td>
<td>2.8</td>
<td>38.9</td>
</tr>
</tbody>
</table>

Source: Available from http://www.illinoisreportcard.com/
< 50% of teachers agreed or strongly agreed to the following statements:

- [The principal] Participates in instructional planning with teams of teachers.
- [The principal] Knows what’s going on in my classroom.

50%-59% of teachers agreed or strongly agreed to the following statement:

- It’s OK in this school to discuss feelings, worries, and frustrations with the principal.

60%-70% of teachers agreed or strongly agreed to the following statements:

- The principal takes a personal interest in the professional development of teachers.
- [The principal] Communicates a clear vision for our school.
- The principal at this school is an effective manager who makes the school run smoothly.
- The principal looks out for the personal welfare of the faculty members.
- [The principal] Understands how children learn.
- [The principal] Carefully tracks student academic progress.

71%-80% of teachers agreed or strongly agreed to the following statements:

- [The principal] Sets high standards for student learning.
- I trust the principal at his or her word.
- The principal places the needs of children ahead of personal and political interests.
- [The principal] Presses teachers to implement what they have learned in professional development.
- Makes clear to the staff his or her expectations for meeting instructional goals.
- The principal has confidence in the expertise of the teachers.

71%-80% of teachers indicated some/to a great extent for the following question:

- To what extent do you feel respected by your principal?

## Emotional Intelligence Appraisal of Principal A

<table>
<thead>
<tr>
<th>Overall Emotional Intelligence Appraisal Score</th>
<th>Overall Personal Competence</th>
<th>Overall Social Competence</th>
</tr>
</thead>
<tbody>
<tr>
<td>92</td>
<td>95</td>
<td>89</td>
</tr>
<tr>
<td>Self-Awareness</td>
<td>98</td>
<td>Social Awareness</td>
</tr>
<tr>
<td>Self-Management</td>
<td>91</td>
<td>Relationship Management</td>
</tr>
</tbody>
</table>

**Figure 16.** Principal A’s Emotional Intelligence Appraisal Score
Principal A’s emotional intelligence appraisal demonstrates strengths within the personal domain, with a score of 98 in self-awareness and 91 in self-management. It also reveals that his lower scores were in the social domain with a score of 87 in social awareness and 91 in relationship management. With a total EIA score of 92, his overall emotional intelligence score fell within the higher than average range. Within this range, the *Emotional Intelligence Appraisal*® report explains that these skills come naturally to the individual or they exist because one has worked hard to develop them. In particular, the report indicates that this principal can work on the following behaviors in order to improve his social awareness skills, the area in which he received the lowest score:

- Occasionally getting too involved in social situations, which keeps you from pulling back to see everything that's going on with other people.
- Missing out on other people's non-verbal cues.
- Failing to spot the mood in the room.

Figure 17 illustrates Principal A’s scores. Principal A is above benchmark average in personal competence, social competence, and overall EQ.

**One-on-One Interview with Principal A**

Principal A described his leadership style as one of an "open-door policy." The responses he provided during the interview revealed a pattern of being collaborative, in that working with teachers for the common purpose of improving students' learning experience was made possible by a supportive relationship between principal and teachers. The rubric for the Illinois High School Principal of the Year Award describes this indicator as the behavior in which the principal “works collaboratively with teachers and other staff to improve the educational program and student achievement.” He described the importance of being visible — that his presence should be a reminder to teachers that he was always around to help. He described this as follows:
And we had a lot of buy-in and I think for the most part if you asked teachers who worked for me they would see me as very supportive and very visible, too. But also I have a keen interest of how things are going because if they had a difficult parent, I've told them don't do that battle alone, let me be there.

*The participant’s profile is based on 5 respondents.
**TalentSmart benchmark scores are based on more than 1,000,000 working professionals.

*Figure 17.* Principal A’s Emotional Intelligence Score compared to Research Participants and TalentSmart Benchmark Data

Principal A believed that his strongest leadership trait was one of being a team builder and that this was ultimately the reason for his recognition. That is, he built trust between himself and his teachers, making it easier to also trust the work that he asked them to do. These collaborative relationships, he described, allowed teachers to have a part of the work and to have “a very active voice, if not a leadership role” in the work that needed to be done.
Furthermore, Principal A believed that his social awareness skills have had the most effect in his success as a leader and described this as having the awareness of those around him – “the students or teachers, that would probably be the biggest, the most important one.” With a score of 87, Principal A’s lowest EIA score was in the area of social awareness.

While Principal A did not have any explicit training in emotional intelligence, he credited his doctoral studies for exposing him to thought leaders such as Michael Fullan and Mike Schmoker, and felt that the research of these individuals helped him understand how to improve the system. He also said that various seminars that he attended as principal referenced teachings on how to be a supportive leader.

With respect to his emotional intelligence growth, Principal A thought that it was developed over time and had been the result of his experience as principal and learning from different issues, different concerns, and different people. As such, he was certain that his score would have been different had he taken the appraisal in his early years as principal. He thought it would be “interesting” and “necessary” to embed emotional intelligence training within leadership preparation programs and that this will become even more necessary with the changing landscape of legislation and the teacher evaluation model.

Principal B

Principal B was the principal in School 2 the year before the award. During this school year, the percentages of students who met or exceeded standards were at 76.2% for Reading, 78.4% for Math, and 77.5% for Science. During the school year when Principal B was recognized as Illinois High School Principal of the Year, the percentage of students who met or exceeded standards increased in the area of Reading with 80.5% and in Science with 78.9%. The percentage of students who met or exceeded standards in the area of Math decreased with 78.1%.
Principal B was no longer in School 2 during the 2012-2013 school year. During this school year, the percentage of students who met or exceeded standards increased in all three subject areas with 81.1% in Reading, 79.4% in Math, and 80.2% in Science.

**School 2 Profile (Principal B)**

![Graph showing student achievement growth in each subject area]

**Figure 18.** Student Achievement Growth for School 2

**5 Essentials Survey Results for School 2**

Nearly 66% of teachers from School 2 submitted a response for the 5 Essentials Survey. The following section presents a closer look at their responses.

![Table showing response rates and IL Average]

**Figure 19.** Teacher Response Rate from School 2’s 5 Essentials Survey
### Table 8

#### School 2 Responses from Selected Questions, 2013 Teacher Survey: 5 Essentials Survey

<table>
<thead>
<tr>
<th>QUESTION</th>
<th>Not at All</th>
<th>A Little</th>
<th>Some</th>
<th>To a Great Extent</th>
<th>Total % Some/To a Great Extent</th>
</tr>
</thead>
<tbody>
<tr>
<td>To what extent do you feel respected by your principal?</td>
<td>7.8</td>
<td>15.6</td>
<td>32.4</td>
<td>44.1</td>
<td>76.5</td>
</tr>
<tr>
<td>Strongly Disagree Disagree Agree Strongly Agree Total % Agree/Strongly Agree</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The principal has confidence in the expertise of the teachers.</td>
<td>3.9</td>
<td>14.6</td>
<td>55.6</td>
<td>25.8</td>
<td>81.4</td>
</tr>
<tr>
<td>I trust the principal at his or her word.</td>
<td>11.3</td>
<td>20.3</td>
<td>49.7</td>
<td>18.6</td>
<td>68.3</td>
</tr>
<tr>
<td>It’s OK in this school to discuss feelings, worries, and frustrations with the principal.</td>
<td>9.6</td>
<td>22.5</td>
<td>52.8</td>
<td>15.2</td>
<td>68</td>
</tr>
<tr>
<td>The principal takes a personal interest in the professional development of teachers.</td>
<td>2.8</td>
<td>20.2</td>
<td>57.3</td>
<td>19.7</td>
<td>77</td>
</tr>
<tr>
<td>The principal looks out for the personal welfare of the faculty members.</td>
<td>11.4</td>
<td>25.6</td>
<td>47.2</td>
<td>15.9</td>
<td>63.1</td>
</tr>
<tr>
<td>The principal places the needs of children ahead of personal and political interests.</td>
<td>2.9</td>
<td>8</td>
<td>50.9</td>
<td>38.3</td>
<td>89.2</td>
</tr>
<tr>
<td>The principal at this school is an effective manager who makes the school run smoothly.</td>
<td>10.8</td>
<td>17</td>
<td>56.8</td>
<td>15.3</td>
<td>72.1</td>
</tr>
<tr>
<td>Makes clear to the staff his or her expectations for meeting instructional goals.</td>
<td>2.9</td>
<td>15.4</td>
<td>60</td>
<td>21.7</td>
<td>81.7</td>
</tr>
<tr>
<td>[The principal] Communicates a clear vision for our school.</td>
<td>4.6</td>
<td>17.1</td>
<td>53.1</td>
<td>25.1</td>
<td>78.2</td>
</tr>
<tr>
<td>[The principal] Understands how children learn.</td>
<td>2.3</td>
<td>11</td>
<td>58.4</td>
<td>28.3</td>
<td>86.7</td>
</tr>
<tr>
<td>[The principal] Sets high standards for student learning.</td>
<td>3.4</td>
<td>10.9</td>
<td>50.3</td>
<td>35.4</td>
<td>85.7</td>
</tr>
<tr>
<td>[The principal] Presses teachers to implement what they have learned in professional development.</td>
<td>3.4</td>
<td>16.1</td>
<td>57.5</td>
<td>23</td>
<td>80.5</td>
</tr>
<tr>
<td>[The principal] Carefully tracks student academic progress.</td>
<td>2.9</td>
<td>13.7</td>
<td>60</td>
<td>23.4</td>
<td>83.4</td>
</tr>
<tr>
<td>[The principal] Knows what’s going on in my classroom.</td>
<td>13.7</td>
<td>33.7</td>
<td>43.4</td>
<td>9.1</td>
<td>52.5</td>
</tr>
<tr>
<td>[The principal] Participates in instructional planning with teams of teachers.</td>
<td>18.8</td>
<td>42.6</td>
<td>33.5</td>
<td>5.1</td>
<td>38.6</td>
</tr>
</tbody>
</table>

Source: Available from http://www.illinoisreportcard.com/
< 50% of teachers agreed or strongly agreed to the following statements:

- [The principal] Participates in instructional planning with teams of teachers.

50%-59% of teachers agreed or strongly agreed to the following statement:

- [The principal] Knows what’s going on in my classroom.

60 %-70% of teachers agreed or strongly agreed to the following statements:

- The principal looks out for the personal welfare of the faculty members.
- It’s OK in this school to discuss feelings, worries, and frustrations with the principal.
- I trust the principal at his or her word.

71%-80% of teachers agreed or strongly agreed to the following statements:

- The principal at this school is an effective manager who makes the school run smoothly.
- The principal takes a personal interest in the professional development of teachers.
- [The principal] Communicates a clear vision for our school.
- [The principal] Presses teachers to implement what they have learned in professional development.
- The principal has confidence in the expertise of the teachers.
- Makes clear to the staff his or her expectations for meeting instructional goals.
- [The principal] Carefully tracks student academic progress.
- [The principal] Sets high standards for student learning.
- [The principal] Understands how children learn.
- The principal places the needs of children ahead of personal and political interests.

71%-80% of teachers indicated some/to a great extent for the following question:

- To what extent do you feel respected by your principal?

![Emotional Intelligence Appraisal of Principal B](image)

**Figure 20.** Principal B’s Emotional Intelligence Appraisal Score
Principals emotional intelligence appraisal demonstrates strengths within the personal domain with a score of 94 in self-awareness and 93 in self-management. It also reveals that his lower scores were in the social domain with a score of 83 in both social awareness and relationship management. With a total EIA score of 88, his overall emotional intelligence score fell within the above average range. Within this range, the Emotional Intelligence Appraisal report explains that an individual has done many things well to receive this score yet there are a few situations where one does not demonstrate emotionally intelligent behavior. In particular, the report indicates that this principal can work on the following behaviors in order to improve his social awareness skills, the area in which he received the lowest score:

- Missing out on other people's non-verbal cues.
- Failing to spot the mood in the room.
- Not paying attention to other people's feelings.

Figure 21 includes Principal B's scores. Principal B is above benchmark average in personal competence, social competence, and overall EQ.

**One-on-One Interview with Principal B**

Principal B described his leadership style as being "situational" and that different situations, different issues, and different people may call for different types of leadership. He described a framework he used to determine which type of leadership to apply given the situation:

"Yeah, there's a chart that I have in my head that goes with that and it's a graph. And it's orientation to task is on the "Y" axis and orientation to people is on the 'X' axis. And as you kind of put that into four quadrants it makes it pretty easy. Well if it's high orientation to task, or low orientation to people, don't waste people's time just make the decision and move on, get something done and move on.

If it's low in people orientation and the task doesn't really matter there is probably some policy that is going to take care of it, you don't even have to touch that. If it's high in people, but low in task, and there are a few of those things, just dish it to the people who want it; let them go, just don't even bother with them. But most everything is here in participative frame. And that's where it needs to get done in 'X' the people. So then you..."
have to start looking at who’s in this frame, who does this touch. How are you placing the people into the decision-making process to come to the best decision?

Figure 21. Principal B’s Emotional Intelligence Score Compared to Research Participants and TalentSmart Benchmark Data

Principal B’s responses revealed an emphasis on collaboration and the types of processes in which the principal acts as the facilitator, but not necessarily the source of decision-making. Principal B recalled a time when a decision he made created some dissonance among the faculty and it was when he asked for data on the school’s literacy center – a highly regarded program for which the school had built quite a reputation. Teachers involved in the program thought that he was asking for data in order to dismantle the program and while it took some time, it became clear that the purpose of his request was to highlight the good work done by the program and the

*The participant’s profile is based on 5 respondents.
**TalentSmart benchmark scores are based on more than 1,000,000 working professionals.
teachers. This example experience found Principal B engaged in various conversations to explain why the school would be prudent in having achievement data that didn't just rely on ACT scores.

For Principal B, it was important that the sense of community extended beyond the school hours, and that there was presence in extracurricular activities from many of the faculty members. In fact, it was during these social gatherings such as athletic events that allowed him and his staff to get to know one another and to eventually build a sense of family. In doing so, he was better able to relate to teachers and to understand their individual situations especially when an issue manifests itself in the classroom. Principal B described the importance of this work:

And you have to be at attention about what you do. So if somebody is over here and you're kind of sitting off to the side: Hey, you okay? What's going on? How was your week? Or you see somebody's eyes down the hallway; that's what we ask all staff to do, right? Look the kids in the eyes. If they are having a bad day, it will be in their eyes. Take the time. And so you do that, you model that with your staff and your students. We pretty much knew exactly what was going on with everybody. You know, teachers, there is no keeping a secret.

Principal B said that "emotional intelligence is not about your own intelligence; it is about where the other person is at. Being able to recognize what's going on with someone else." In thinking about his own appraisal, he felt the scores were just about right although some questions were more difficult to answer because of his situational leadership style. That is, there wasn't just one answer to the question.

Principal B acknowledged the importance of relationship management and explained that without trust, it would not have been possible to accomplish anything. He stated: “I was put in a position where I had to build relationships with people and build that trust first.” He further contended that “people don't really care what you know; they care how you care about them first.” In fact, it was through the relationships he forged with even the poor performing students that another student noticed and thus, insisted on nominating him for the award.
With respect to emotional intelligence and leadership development, he reflected that the two have not had much do with one another but that “like everything else, it's another skill set that once shown works.” He may not have had explicit training in emotional intelligence but also believed that leadership models have always placed an importance on things such as relationship management.

Although Principal B is already retired, he is still very attentive to current trends in educational leadership, and believed that emotional intelligence is and will continue to be integral to the work of school leaders, especially with the changing landscape of schools.

**Principal C**

Principal C was the principal in School 3 the year before the award. During this school year, the percentages of students who met or exceeded standards were at 64.1% for Reading, 58.2% for Math, and 62% for Science. During the school year when Principal C was recognized as Illinois High School Principal of the Year, the percentage of students who met or exceeded standards decreased in all three subject areas with 56.5% in Reading, 51.2% in Math and 57% in Science. Principal C was still in School 3 during the 2012-2013 school year. During this school year, the percentage of students who met or exceeded standards increased in both Reading and Math with 65.7% and 53.5% respectively and decreased in Science with 56.6%. While scores in Math and Science increased from the year of the award to the 2012-2013 school year, these scores are still lower than the year before the award. In that Principal C has remained as the principal of School 3 during the 2012-2013 school year, he is one of only two participants in this study for which data on student achievement can be directly linked.
Eighty-two percent of teachers from School 3 submitted a response for the *5Essentials* Survey. The following section presents a closer look at their response.

*Figure 22. Student Achievement Growth for School 3*

*5 Essentials Survey Results for School 3*

Eighty-two percent of teachers from School 3 submitted a response for the *5Essentials* Survey. The following section presents a closer look at their response.

*Figure 23. Teacher Response Rate from School 3's 5 Essentials Survey*
Table 9
School 3 Responses from Selected Questions, 2013 Teacher Survey: *5 Essentials Survey*

<table>
<thead>
<tr>
<th>QUESTION</th>
<th>Not at All</th>
<th>A Little</th>
<th>Some</th>
<th>To a Great Extent</th>
<th>Total % Some/To a Great Extent</th>
</tr>
</thead>
<tbody>
<tr>
<td>To what extent do you feel respected by your principal?</td>
<td>14</td>
<td>20</td>
<td>26</td>
<td>40</td>
<td>66</td>
</tr>
<tr>
<td>The principal has confidence in the expertise of the teachers.</td>
<td>8</td>
<td>20</td>
<td>60</td>
<td>12</td>
<td>72</td>
</tr>
<tr>
<td>I trust the principal at his or her word.</td>
<td>8</td>
<td>24</td>
<td>44</td>
<td>24</td>
<td>68</td>
</tr>
<tr>
<td>It's OK in this school to discuss feelings, worries, and frustrations with the principal.</td>
<td>18</td>
<td>24</td>
<td>38</td>
<td>20</td>
<td>58</td>
</tr>
<tr>
<td>The principal takes a personal interest in the professional development of teachers.</td>
<td>2</td>
<td>18</td>
<td>50</td>
<td>30</td>
<td>80</td>
</tr>
<tr>
<td>The principal looks out for the personal welfare of the faculty members.</td>
<td>8</td>
<td>20</td>
<td>48</td>
<td>24</td>
<td>72</td>
</tr>
<tr>
<td>The principal places the needs of children ahead of personal and political interests.</td>
<td>2</td>
<td>20</td>
<td>36</td>
<td>42</td>
<td>78</td>
</tr>
<tr>
<td>The principal at this school is an effective manager who makes the school run smoothly.</td>
<td>12</td>
<td>18</td>
<td>54</td>
<td>16</td>
<td>70</td>
</tr>
<tr>
<td>Makes clear to the staff his or her expectations for meeting instructional goals.</td>
<td>8</td>
<td>28</td>
<td>50</td>
<td>14</td>
<td>64</td>
</tr>
<tr>
<td>[The principal] Communicates a clear vision for our school.</td>
<td>10</td>
<td>20</td>
<td>48</td>
<td>22</td>
<td>70</td>
</tr>
<tr>
<td>[The principal] Understands how children learn.</td>
<td>2</td>
<td>12</td>
<td>68</td>
<td>18</td>
<td>86</td>
</tr>
<tr>
<td>[The principal] Sets high standards for student learning.</td>
<td>2</td>
<td>6</td>
<td>68</td>
<td>24</td>
<td>92</td>
</tr>
<tr>
<td>[The principal] Presses teachers to implement what they have learned in professional development.</td>
<td>4</td>
<td>14</td>
<td>48</td>
<td>34</td>
<td>82</td>
</tr>
<tr>
<td>[The principal] Carefully tracks student academic progress.</td>
<td>2</td>
<td>18.4</td>
<td>61.2</td>
<td>18.4</td>
<td>79.6</td>
</tr>
<tr>
<td>[The principal] Knows what's going on in my classroom.</td>
<td>18</td>
<td>26</td>
<td>40</td>
<td>16</td>
<td>56</td>
</tr>
<tr>
<td>[The principal] Participates in instructional planning with teams of teachers.</td>
<td>8</td>
<td>32</td>
<td>52</td>
<td>8</td>
<td>60</td>
</tr>
</tbody>
</table>

Source: Available from http://www.illinoisreportcard.com/
50%-59% of teachers agreed or strongly agreed to the following statement:

- [The principal] Knows what’s going on in my classroom.
- It’s OK in this school to discuss feelings, worries, and frustrations with the principal.

60%-70% of teachers agreed or strongly agreed to the following statements:

- [The principal] Participates in instructional planning with teams of teachers.
- Makes clear to the staff his or her expectations for meeting instructional goals.
- I trust the principal at his or her word.
- The principal at this school is an effective manager who makes the school run smoothly.
- [The principal] Communicates a clear vision for our school.

60%-70% of teachers indicated some/to a great extent for the following question:

- To what extent do you feel respected by your principal?

71%-80% of teachers agreed or strongly agreed to the following statements:

- The principal has confidence in the expertise of the teachers.
- The principal looks out for the personal welfare of the faculty members.
- The principal places the needs of children ahead of personal and political interests.
- [The principal] Carefully tracks student academic progress.
- The principal takes a personal interest in the professional development of teachers.
- [The principal] Presses teachers to implement what they have learned in professional development.
- [The principal] Understands how children learn.

81%-90% of teachers indicated some/to a great extent for the following question:

- [The principal] Sets high standards for student learning.

![Emotional Intelligence Appraisal of Principal C](image)

Figure 24. Principal C’s Emotional Intelligence Appraisal Score
Principal C’s emotional intelligence appraisal demonstrates strengths within the social domain with a score of 95 in both social awareness and relationship management. It also reveals that his lower scores were in the personal domain with a score of 78 in self-awareness and 91 in self-management. With a total EIA score of 90, his overall emotional intelligence score fell within the above average range. Within this range, the *Emotional Intelligence Appraisal®* report explains that these skills come naturally to the individual or they exist because one has worked hard to develop them. In particular, the report indicates that this principal can work on the following behaviors in order to improve his self-awareness skills, the area in which he received the lowest score:

- Not fully grasping the role you play in creating the difficulties you encounter.
- Trouble understanding your emotions.
- Not owning up to your shortcomings.

Figure 25 includes Principal C’s scores. Principal C is above benchmark average in personal competence, social competence, and overall EQ. Principal C is the outlier among the group in the area of social awareness with a score of 95.

**One-on-One Interview with Principal C**

Principal C prides himself of being a good judge of school climate and has relied heavily on relationships with his staff in his journey as a leader. Nevertheless, he also thought that change brought on some anxiety among his teachers when he failed to filter the myriad of initiatives that the school took on in any one particular year. He learned this when even the more optimistic faculty members started displaying some anxiety. For these types of situations, he relies on his keen sense of self-management and social awareness – closely tied to leading with integrity and professionalism, to treat the human side of the issue with dignity and respect.
As such, positive change became evident when teachers felt comfortable to innovate and initiate ideas on their own. Principal C described a recognition ceremony that he started with his staff which teachers made their own when they started recognizing fellow teachers for small yet significant acts of creativity in teaching. This also became evident when teachers were willing to share ideas with one another without being prompted; something that teachers had been hesitant to do. He described this example in the following scenario:

One of the cool things is when people chose to share ideas. I just had one of our social studies teachers that has an interesting idea about finals week. And maybe some different things that we can do afterward that are more project based and here's an idea, I'm really thinking about this. I think when people are willing to share with you ideas to improve; I think that's a good sign.
In these examples, Principal C harnessed the collective knowledge of his staff and considered this to be an appropriate and effective approach anytime the teachers were given a challenge, such as improving their scores or responding to mandates such as increasing class size, Common Core or RtI (Response to Intervention).

He described emotional intelligence as “street smarts” and further described it this way: “You got people that might be book smart, but the emotional intelligence requires a connection and requires you to, if you are going to be emotionally intelligent, you have to be able to read people by listening to people and getting a view of what is it that makes them tick.”

Principal C found the appraisal to be useful in that it gave him perspective on his strengths and areas with respect to emotional intelligence. Principal C attended a couple of workshops on leadership development but reflected that he learned much of what he knows now about being an emotionally intelligent leader from his mentor, the former principal turned superintendent of the school. He described this experience below:

Obviously, I got my teaching degree, but I never really had a mentor as a teacher. And as an administrator it was the first time somebody sat down like this, like I'd come in and sit down and my superintendent would be like: 'Why don't you sit there. I am going to go through a conversation with a parent and I want you to watch what I do. I want you to watch how I actively listen. And I want you to pay attention to my tone of voice and how I talk. And so he'd go through those things and then he would actually meet with the kid and we'd sit down and talk.

So he actually showed me some of those things. I was like: Wow, this is really nice and I took some notes. And really, that was the first glimpse I had into it, he didn't call it emotional intelligence, but in my mind that's what it was based on.

Nevertheless, Principals B, C and D reflected that certain aspects of their emotional intelligence were innate. Principal C recalled learning how to talk to people by watching his mother, who was a drama teacher, and his father, who used to speak a lot. Principal C was certain that he would have gotten a lower score and explained that “You're put in a position now and you are always
thinking of other people besides yourself by now and more leadership/managerial role." Principal C finds himself employing skills in social awareness for some of the unique situations that he has had to face as a principal. He described the importance of being sensitive to the emotional needs of people in the following scenario:

We've had unfortunately either recent graduates or current students -- we have had 12 deaths in the last seven years. That above all has taught me a lot about emotional intelligence because it doesn't matter what you have in a policy in regards to a student death. I'm a parent, I'm grieving, I'm pissed, and you're going to do something to remember my kid. I want something up at the school, I want their name on it, I want it in lights. I saw more awful scenarios I went through with that. And you just learn a ton on how to -- and there is no easy way. We just had a student die of an overdose, a recent grad. Going to the wake, still all you can do is use your emotional intelligence as best you can and try to go there.

Just like a novice teacher would need the fundamental training related to classroom management, Principal C thought that principals need more training on emotional intelligence, especially with what he described as increasing incidences of social-emotional issues in our schools today.

**Principal D**

Principal D was the principal in School 4 the year before the award. During this school year, the percentages of students who met or exceeded standards were at 52.2% for Reading, 62.7% for Math, and 55.5% for Science. During the school year when Principal D was recognized as Illinois High School Principal of the Year, the percentage of students who met or exceeded standards decreased in all three subject areas with 47.8% in Reading, 61.7% in Math and 54.3% in Science. Principal D was still in School 4 during the 2012-2013 school year. During this school year, the percentage of students who met or exceeded standards increased in both Reading and Science with 59.1% and 54.6% in Science respectively, and decreased in Math with 55.7%.
Figure 26. Student Achievement Growth for School 4

5 Essentials Survey Results for School 4

Figure 27. Teacher Response Rate from School 4’s 5 Essentials Survey

Just a little over 88% of teachers from School 4 submitted a response for the 5 Essentials Survey.

The following table presents a closer look at their response.
Table 10

School 4 Responses from Selected Questions, 2013 Teacher Survey: 5 Essentials Survey

<table>
<thead>
<tr>
<th>QUESTION</th>
<th>Not at All</th>
<th>A Little</th>
<th>Some</th>
<th>To a Great Extent</th>
<th>Total % Some/To a Great Extent</th>
</tr>
</thead>
<tbody>
<tr>
<td>To what extent do you feel respected by your principal?</td>
<td>8.3</td>
<td>19.8</td>
<td>32.2</td>
<td>39.7</td>
<td>71.9</td>
</tr>
<tr>
<td>Str</td>
<td>Disagree</td>
<td>Disagree</td>
<td>Agree</td>
<td>Strongly Agree</td>
<td></td>
</tr>
<tr>
<td>The principal has confidence in the expertise of the teachers.</td>
<td>5</td>
<td>11.8</td>
<td>54.6</td>
<td>28.6</td>
<td>83.2</td>
</tr>
<tr>
<td>I trust the principal at his or her word.</td>
<td>6.7</td>
<td>21.7</td>
<td>47.5</td>
<td>24.2</td>
<td>71.7</td>
</tr>
<tr>
<td>It’s OK in this school to discuss feelings, worries, and frustrations with the principal.</td>
<td>16.9</td>
<td>27.1</td>
<td>34.7</td>
<td>21.2</td>
<td>55.9</td>
</tr>
<tr>
<td>The principal takes a personal interest in the professional development of teachers.</td>
<td>7.9</td>
<td>19.3</td>
<td>49.1</td>
<td>23.7</td>
<td>72.8</td>
</tr>
<tr>
<td>The principal looks out for the personal welfare of the faculty members.</td>
<td>13.4</td>
<td>23.2</td>
<td>44.6</td>
<td>18.8</td>
<td>63.4</td>
</tr>
<tr>
<td>The principal places the needs of children ahead of personal and political interests.</td>
<td>9.6</td>
<td>12.3</td>
<td>51.8</td>
<td>26.3</td>
<td>78.1</td>
</tr>
<tr>
<td>The principal at this school is an effective manager who makes the school run smoothly.</td>
<td>9.2</td>
<td>17.6</td>
<td>50.4</td>
<td>22.7</td>
<td>73.1</td>
</tr>
<tr>
<td>Makes clear to the staff his or her expectations for meeting instructional goals.</td>
<td>1.7</td>
<td>12.5</td>
<td>57.5</td>
<td>28.3</td>
<td>85.8</td>
</tr>
<tr>
<td>[The principal] Communicates a clear vision for our school.</td>
<td>4.2</td>
<td>16.8</td>
<td>55.5</td>
<td>23.5</td>
<td>79</td>
</tr>
<tr>
<td>[The principal] Understands how children learn.</td>
<td>5.1</td>
<td>15.4</td>
<td>52.1</td>
<td>27.4</td>
<td>79.5</td>
</tr>
<tr>
<td>[The principal] Sets high standards for student learning.</td>
<td>3.4</td>
<td>6.8</td>
<td>56.8</td>
<td>33.1</td>
<td>89.9</td>
</tr>
<tr>
<td>[The principal] Presses teachers to implement what they have learned in professional development.</td>
<td>3.4</td>
<td>9.5</td>
<td>56.9</td>
<td>30.2</td>
<td>87.1</td>
</tr>
<tr>
<td>[The principal] Carefully tracks student academic progress.</td>
<td>4.4</td>
<td>7.1</td>
<td>53.1</td>
<td>35.4</td>
<td>88.5</td>
</tr>
<tr>
<td>[The principal] Knows what’s going on in my classroom.</td>
<td>26.5</td>
<td>31.6</td>
<td>33.3</td>
<td>8.5</td>
<td>41.8</td>
</tr>
<tr>
<td>[The principal] Participates in instructional planning with teams of teachers.</td>
<td>19.8</td>
<td>29.2</td>
<td>38.7</td>
<td>12.3</td>
<td>51</td>
</tr>
</tbody>
</table>

Source: Available from http://www.illinoisreportcard.com/
< 50% of teachers agreed or strongly agreed to the following statements:

- [The principal] Knows what’s going on in my classroom.

50%-59% of teachers agreed or strongly agreed to the following statement:

- [The principal] Participates in instructional planning with teams of teachers.
- It’s OK in this school to discuss feelings, worries, and frustrations with the principal.

60 %-70% of teachers agreed or strongly agreed to the following statements:

- The principal looks out for the personal welfare of the faculty members.

71%-80% of teachers agreed or strongly agreed to the following statements:

- I trust the principal at his or her word.
- The principal takes a personal interest in the professional development of teachers.
- The principal at this school is an effective manager who makes the school run smoothly.
- The principal places the needs of children ahead of personal and political interests.
- [The principal] Communicates a clear vision for our school.
- [The principal] Understands how children learn.

71%-80% of teachers indicated some/to a great extent for the following question:

- To what extent do you feel respected by your principal?

81%-90% of teachers indicated some/to a great extent for the following question:

- The principal has confidence in the expertise of the teachers.
- Makes clear to the staff his or her expectations for meeting instructional goals.
- [The principal] Presses teachers to implement what they have learned in professional development.
- [The principal] Carefully tracks student academic progress.
- [The principal] Sets high standards for student learning.
<table>
<thead>
<tr>
<th>Overall Emotional Intelligence Score</th>
<th>Personal Competence</th>
<th>Social Competence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall Pers</td>
<td>84</td>
<td>Overall Social Competence 75</td>
</tr>
<tr>
<td>Social Competence</td>
<td>75</td>
<td>Social Awareness 77</td>
</tr>
<tr>
<td>Self-Awareness</td>
<td>82</td>
<td></td>
</tr>
<tr>
<td>Relationship Management</td>
<td>73</td>
<td></td>
</tr>
<tr>
<td>Self-Management</td>
<td>85</td>
<td></td>
</tr>
</tbody>
</table>

Figure 28. Principal D's Emotional Intelligence Appraisal Score

Principal D’s emotional intelligence appraisal demonstrates strengths within the personal domain with a score of 82 in self-awareness and 85 in self-management. It also reveals that his lower scores were in the social domain with a score of 77 in social awareness and 73 in relationship management. With a total EIA score of 79, his overall emotional intelligence score fell just below the average range, and is the lowest score among all the participants. Within this range, the Emotional Intelligence Appraisal report explains that an individual is aware of some of the behaviors for which he/she received this score. In particular, the report indicates that this principal can work on the following behaviors in order to improve his relationship management skills, the area in which he received the lowest score:

- Not being open and willing enough to explain yourself to others.
- Handling conflict ineffectively.
- Not showing empathy for other people.

Figure 29 includes Principal D’s scores. Principal D is above average in his overall score as well as the area of personal competence. His social competence score is about the same as the benchmark data.
One-on-One Interview with Principal D

Principal D described his leadership style as being the "influential type;" one in which he ensures that the people with whom he works are empowered to do what they need to do. Although there were a lot of individual conversations, he maintained focus and consistency in these conversations and made sure that the work was headed down the same path.

In spite of his attempt to be coherent, he recalled a time when an Institute Day speech was misinterpreted by some faculty as criticism for the quality of the current work. So he navigated the issue by having a lot of conversations: "The immediate thing for me, how did I go about it, was about talking to people and listening to people to try to figure out what the truth was in what people
were feeling.” He further emphasized the importance of listening for the concerns – is it a concern for many or only for a few but loud voices?

Setting a vision and the expectations for what is considered good work ensures that teachers are clear about the moral purpose of working with students from an early stage, especially with non-tenured teachers. This becomes the basis of conversations, especially crucial ones, regarding performance. Principal D described this work as follows:

I’ll tell you I learned during the seven years of doing this, four at one school and three at the other school. There are a couple of things especially with the non-tenured teachers. I learned that you needed to let them know early and give them a chance to see if they can show what they can do or not do, but keep them informed. So when you make a decision and that as you're coming close to the decision they're not surprised by it.

While he doesn’t characterize himself as one who raises his voice during heated conversations, Principal D stated that there is a deliberate shift in delivery of the message that he makes when a conversation is serious. He described the difference in the following statement:

The tenured teachers and the non-tenured as well, if it's something that's going to go to a notice of remedy to help them understand the fact of the severity of it and a variety of things, what I do is a script everything out. That way I don't forget anything and I can take notes on it and sometimes if I had to I'd have my assistant come in and I gave them an electronic copy of this and they took the notes within the questions that I was going to ask out there. So that is a tone of delivery. Right? Even though it is not a tone as inflection of voice there is a tone in the room that is very different when they are walking in and seeing me and I'm not just having a conversation like I am having here.

Principal D took comfort in knowing that many of the initiatives he started were still very much alive even after he left, a sign that the school found the work to be meaningful and important for students.

And so the most important thing for me having only been there three years in my mind was: Did I set up systems that -- I used to tell people the best thing I could do is set up the system, so I don't have to be there anymore and I worked myself out of a job. Because it's about other people taking the ownership and the power in order to be able to do things.
Much like the other principals, Principal D articulated that consensus building was made possible by working with various individuals and teams in order to promote the importance of the topic that they wanted to initiate. For instance, Principal D relied on research and the work of other experts to help faculty understand why PBIS (Positive Behavioral Interventions and Supports) was an appropriate response to student discipline issues.

Principal D defined emotional intelligence as “having the wherewithal to study the surroundings and the climate.” He found the appraisal to be interesting but wasn’t surprised much by the results. Having been somewhat acquainted with the topic, it made him think that it would be a good tool to use with his own team.

For Principal D, constantly reflecting on his words and actions has helped him be thoughtful about his impact as a leader.

Every time we go through something and we have something that happens, whether it is good or bad, I try to figure out well what made it happen that way so that I can -- as things happen now, I can see it coming, and I can gauge better about how we might want to respond to it or be able to navigate something ourselves. So that to me has been the most important piece. And then helping others through that navigation by being reflective and hopefully asking questions that force them to think about what we are doing.

Principal D said that being reflective was something that he practiced even as a teacher, and became even more necessary as a principal with various stakeholders. He further stated that, “it requires you to not only think about what’s going on in the building, but it requires you to think about yourself.” Principal D reflected that the change could be attributed to his evolution as a leader and that self-awareness has helped him become more mindful of his leadership role.

I could tell you because I can even think of some of the things and how I handled it as a department chair and a division head compared to as a first principal and a second time principal, and then now in my role now. I can definitely see an evolution in how my behaviors are being formed over time.

As for embedding emotional intelligence into leadership preparation programs, Principal D said:
I think it’s going to have to be more explicit in the future. I think with the things the state requires us to do and how we have to message and how we have to work our faculty and our administrators because things are coming fast and furious. That if you don’t have that piece to it can become very problematic.

Principal E

Principal E was the principal in School 5 the year before the award. During this school year, the percentages of students who met or exceeded standards were at 51% for Reading, 66.4% for Math, and 51.7% for Science. During the school year when Principal E was recognized as Illinois High School Principal of the Year, the percentage of students who met or exceeded standards increased in Reading with 51.8%, and decreased in Math and Science with 61.4% in Math and 49.8% in Science respectively. Principal E was still in School 5 during the 2012-2013 school year and these academic data points have remained the same. In that Principal E has remained as the principal of School 5 during the 2012-2013 school year, he is one of only two participants in this study for which data on student achievement can be directly linked.

5 Essentials Survey Results for School 5

School 5 decided not to place much emphasis in completing the 5 Essentials Survey. However, as a school, it has had a school climate survey that it has administered over the last few years. As with the 5 Essentials Survey, the researcher selected those questions that were most related to the relationship between principal and faculty. Table 11 presents results from the leadership section of School 5’s Staff Climate Survey from 2012-2013.
Figure 30. Student Achievement Growth for School 5

Table 11

School 5 Responses from School Climate Survey

<table>
<thead>
<tr>
<th>QUESTION</th>
<th>% Agree or Strongly Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>The principal makes decisions that are in the best interest of the students. (N=59)</td>
<td>90</td>
</tr>
<tr>
<td>I know what the principal expects of me as a staff member at this school. (N=57)</td>
<td>86</td>
</tr>
<tr>
<td>The principal and administrative team encourage staff members to be involved in making decisions for the school. (N=58)</td>
<td>74</td>
</tr>
<tr>
<td>The principal and administrative team provide useful feedback about my professional practices. (N=58)</td>
<td>72</td>
</tr>
<tr>
<td>My supervisor has confidence in my ability to do my job. (N=58)</td>
<td>98</td>
</tr>
<tr>
<td>I am encouraged to take risks by trying new techniques and ideas to improve my professional work/skills. (N=57)</td>
<td>93</td>
</tr>
<tr>
<td>The administrative team keeps staff members focused on shared purpose, continuous improvement and collaboration. (N=58)</td>
<td>87</td>
</tr>
<tr>
<td>The principal makes decisions that are in the best interest of the students. (N=59)</td>
<td>90</td>
</tr>
</tbody>
</table>
### Emotional Intelligence Appraisal of Principal E

<table>
<thead>
<tr>
<th>Overall Emotional Intelligence Score</th>
<th>Personal Competence</th>
<th>Social Competence</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Overall Personal Competence</td>
<td>Overall Social Competence</td>
</tr>
<tr>
<td></td>
<td>88</td>
<td>89</td>
</tr>
<tr>
<td></td>
<td>Self-Awareness</td>
<td>Social Awareness</td>
</tr>
<tr>
<td></td>
<td>85</td>
<td>83</td>
</tr>
<tr>
<td></td>
<td>Self-Management</td>
<td>Relationship Management</td>
</tr>
<tr>
<td></td>
<td>91</td>
<td>95</td>
</tr>
</tbody>
</table>

**Figure 31.** Principal E’s Emotional Intelligence Appraisal Score

Principal E’s emotional intelligence appraisal demonstrates strengths within the social domain with a score of 83 in social awareness and 95 in relationship management. It also reveals that his lower scores were in the personal domain with a score of 85 in self-awareness and 91 in self-management. With a total EIA score of 89, his overall emotional intelligence score fell within the above average range. Within this range, the *Emotional Intelligence Appraisal* ® report explains that there are many things one has done well to receive this score and a few that could be better with some practice. In particular, the report indicates that this principal can work on the following behaviors in order to improve his self-awareness skills, the area in which he received the lowest score:

- Missing out on other people’s non-verbal cues.
- Failing to spot the mood in the room.
- Not paying attention to other people’s feelings.

Figure 32 includes Principal E’s scores. Principal E is above benchmark average in personal competence, social competence, and overall EQ.
**The participant’s profile is based on 5 respondents.**
**TalentSmart benchmark scores are based on more than 1,000,000 working professionals.**

*Figure 32.* Principal E’s Emotional Intelligence Score Compared to Research Participants and TalentSmart Benchmark Data

**One-on-One Interview with Principal E**

Principal E described his leadership framework with four pillars: (1) Being genuine and honest so people can trust you; (2) To inspire and give people hope that they can do anything; (3) Having a clear vision; and, (4) Creating a culture where people feel valued. His responses underscored the importance of creating a culture where people feel valued and empowered to do meaningful work with students.

As a principal, Principal E found himself in numerous conversations in which he had to address poor performance. He approached such conversations from “a human aspect” and felt it was vital to address the emotional side of the issue. He said:

So I had a lot of difficult conversations around both discipline and around not meeting that leadership threshold. And what I would say is I always started with empathy. Whether it was a 15-year veteran or a new teacher in the sense of understanding that what I am asking is not easy. If it is somebody who is a veteran teacher, certainly I often talked to
them about the fact that I know the world has changed for you. It used to be it was good enough for you simply to be a nice guy, sort of the sage on the stage and that you're so smart and knowledgeable and you can talk about what you're passionate about and that was okay and you can work independently. And now what you used to be highly regarded for now we say, "Well, yeah, it's not good enough anymore." And it's almost a little bit unfair.

Principals E took pride in building a sense of community where parents became an integral part of the school. As such, “drugs, gangs, and violence” were the words that community members once said about his school, yet these were eventually replaced by “Math, Science, and Technology” after many years of re-branding it as a STEM (Science, Technology, Engineering & Math) school. He described how he understood that many teachers already possessed a certain level of expertise on topics related to STEM and it made sense for him to invest a lot of time in talking with teacher leaders about how the school can prepare for this type of transition. He further explained that strong leadership comes from an emotional perspective and requires the leader to be “confident enough to not feel like you have to be the one with the answers.” In fact, he added, “it is better that you're not and it's very disarming, I think. It's part of being genuine. It goes back to being an honest broker, being an honest individual. If I don't know it, I will tell you I don't know it.”

Principal E defined emotional intelligence as “the aptitude to interact with the world around you with the individuals in whatever your space is and whatever environment you're in. So it's your ability to respond and to react to both yourself and to others depending on what's going on.” In reflecting upon his scores, he didn't quite understand how one’s strength and weakness can be characterized with so few questions. But overall, he thought he scored fairly well. He also reflected that emotional intelligence has not played a significant role in leadership development and that his own growth was the result of intentional self-improvement on his part; that he sought to improve his own emotional intelligence, particularly in the area of self-awareness. In fact, he
claimed to have read “every book related to popular psychology and understanding oneself and
one’s social and emotional needs.”

Principal E was the only participant who said that his score would have been the same
even if he were to take his survey at the beginning of his career as principal. He felt this way
because education is his second career, and by the time he became a principal, he was already
“very self-aware” and that helped him be successful in his new role. Principal E recognized that
self-awareness has helped him in his own journey. He described this experience below:

I sold the staff on myself and then they trusted me enough to follow where I was leading
them, which is an interesting way of looking at it, that I first sold them on me. That I
invested in them, I believe in them, I know them and I am competent enough to share with
you: this is the world we live in and what we need to do to move forward. And they trusted
me enough to take them there.

Principal E thought there needs to be more explicit connection between leadership preparation
programs and emotional intelligence. He stated that in talking about leadership:

…we are conceptually thinking of it in the context of emotional intelligence. There is not a
connection there. I think if they're in the research and periodicals, I think if they start
making that connection then it would make sense. Until this conversation, I never tied the
two.

**Emotional Intelligence Group Profile**

The following section will include various representations of the group’s emotional
intelligence appraisal. To begin, Figure 33 displays the overall emotional intelligence score as well
as the individual scores of each participant for each of the components within the two
competencies of the framework.
<table>
<thead>
<tr>
<th>Principal</th>
<th>Overall Emotional Intelligence Score</th>
<th>Personal Competence</th>
<th>Social Competence</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>92</td>
<td>Overall Personal Competence 95</td>
<td>Overall Social Competence 89</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Self-Awareness 98</td>
<td>Social Awareness 87</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Self-Management 91</td>
<td>Relationship Management 91</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Overall Personal Competence 94</td>
<td>Overall Social Competence 83</td>
</tr>
<tr>
<td>B</td>
<td>88</td>
<td>Self-Awareness 94</td>
<td>Social Awareness 83</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Self-Management 93</td>
<td>Relationship Management 83</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Overall Personal Competence 85</td>
<td>Overall Social Competence 95</td>
</tr>
<tr>
<td>C</td>
<td>90</td>
<td>Self-Awareness 78</td>
<td>Social Awareness 95</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Self-Management 91</td>
<td>Relationship Management 95</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Overall Personal Competence 84</td>
<td>Overall Social Competence 75</td>
</tr>
<tr>
<td>D</td>
<td>79</td>
<td>Self-Awareness 82</td>
<td>Social Awareness 77</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Self-Management 85</td>
<td>Relationship Management 73</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Overall Personal Competence 88</td>
<td>Overall Social Competence 89</td>
</tr>
<tr>
<td>E</td>
<td>89</td>
<td>Self-Awareness 85</td>
<td>Social Awareness 83</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Self-Management 91</td>
<td>Relationship Management 95</td>
</tr>
</tbody>
</table>

*Figure 43. Results of Participants’ Emotional Intelligence Appraisal ©*

The graph below is a snapshot of the participants’ emotional intelligence group profile. This profile describes the most common strengths and most common development needs across the group. It is worth noting that skill assessments are a snapshot in time based on self-perceptions.
and as such, they should be considered a baseline description of the current emotional intelligence skill levels in this group.

The graph also displays the participants' score compared to TalentSmart benchmark scores. TalentSmart is the company that created the *Emotional Intelligence Appraisal®*, which has been administered to more than 1,000,000 working professionals.

The data indicate that the group has an overall average score of 88, and that as a group, their skills are above average in comparison to the TalentSmart benchmark scores. The group’s personal competence score is 89 and their social competence score is 86.

Moreover, the following graph plots the scores of all five participants in comparison to the benchmark data. All participants are above average in each skill, with the exception of Participant 4 that is 2 points below average in relationship management.
Finally, Table 12 highlights the strengths and areas of opportunity within the group without taking the magnitude of the score into consideration. For example, two participants had self-awareness as a strength (one participant scored a 98, the other a 94).

It is important to note that the sum of counts exceeds 5 as two participants had skills tied for highest or lowest, respectively. These data reveal that social awareness is the most common area for opportunity (3/5 participants had a lowest score in this competence). It also highlights that participants have varying strengths.
Table 12

Strengths and Areas for Growth of Participants as Demonstrated in Emotional Intelligence Appraisal®

<table>
<thead>
<tr>
<th>Emotional Intelligence Skill</th>
<th>Low</th>
<th>High</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self-Awareness</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Self-Management</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Social Awareness</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>Relationship Management</td>
<td>2</td>
<td>2</td>
</tr>
</tbody>
</table>

Coding Categories for Interview Portion of the Study

The researcher referred to the process described by Zhang and Wildemuth (2009) to prepare and code the data gathered from the interview. This process is outlined below in Figure 36.

<table>
<thead>
<tr>
<th>STEP</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Prepare the data</td>
<td>Interview transcribed and prepared as written copy.</td>
</tr>
<tr>
<td>2. Define the Unit of Analysis</td>
<td>Determine level of text that will be used for analysis (e.g. word, sentence, or paragraph).</td>
</tr>
<tr>
<td>3. Develop Categories and a Coding Scheme</td>
<td>Generate list of categories and codes that will be used for data analysis.</td>
</tr>
<tr>
<td>4. Test Coding Scheme on a Sample of Text</td>
<td>Determine level of consistency of text coding.</td>
</tr>
<tr>
<td>5. Code All the Text</td>
<td>Apply coding to the entire text once consistency has been achieved.</td>
</tr>
<tr>
<td>6. Assess Coding Consistency</td>
<td>Recheck coding consistency</td>
</tr>
<tr>
<td>7. Draw Conclusions from the Coded Data</td>
<td>Make sense of themes that emerged from coding</td>
</tr>
<tr>
<td>8. Report Methods and Findings</td>
<td>Report decisions and practices concerning the coding process.</td>
</tr>
</tbody>
</table>

Adapted from Qualitative analysis of content (Zhang & Wildemuth, 2009).

Figure 36. Process for Analysis of Qualitative Data Used by Researcher to Generate Coding Categories
In developing the coding category for the qualitative data analysis of this study, the researcher referred to the emotional intelligence framework described by Goleman (1998) and Goleman et al. (2002) that includes the dimensions of self-awareness, self-management, social awareness and relationship management. Then this framework was linked to the criteria for the Illinois High School Principal of the Year Award as well as the Illinois Performance Standards for School Leaders.

Table 13

**Coding Categories Linked to Emotional Intelligence Framework**

<table>
<thead>
<tr>
<th>Code – Illinois High School Principal of the Year Award</th>
<th>Definition</th>
<th>Corresponding Emotional Intelligence Dimension (Goleman, 1998; Goleman et al., 2002)</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI - Positive Impact</td>
<td>Demonstrates positive impact on education and advocacy for children</td>
<td>Self-Awareness</td>
</tr>
<tr>
<td>PSC - Positive School Climate</td>
<td>Ensures the school climate is positive and reflects high staff and student morale</td>
<td>Relationship Management</td>
</tr>
<tr>
<td>CI - Creativity &amp; Imagination</td>
<td>Demonstrates creativity and imagination in bringing about positive change</td>
<td>Self Management</td>
</tr>
<tr>
<td>R - Risk taking</td>
<td>Willing to take risks to improve student learning</td>
<td>Self-Management</td>
</tr>
<tr>
<td>AI - Active Implementation</td>
<td>Moves actively to implement the goals and objectives of the school</td>
<td>Self-Management</td>
</tr>
<tr>
<td>C - Collaborative</td>
<td>Works collaboratively with teachers and other staff to improve the educational program and student achievement</td>
<td>Relationship Management</td>
</tr>
<tr>
<td>A - Anticipates Problems</td>
<td>Anticipates emerging problems and acts effectively to resolve them</td>
<td>Self-Management</td>
</tr>
<tr>
<td>C - Community</td>
<td>Involves the community in the life of the school and uses community resources for students</td>
<td>Social Awareness / Relationship Management</td>
</tr>
<tr>
<td>Code – Illinois Performance Standards for School Leaders</td>
<td>Definition</td>
<td>Corresponding Emotional Intelligence Dimension (Goleman, 1998; Goleman et al., 2002)</td>
</tr>
<tr>
<td>-------------------------------------------------------</td>
<td>------------</td>
<td>--------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>MV - Mission &amp; Vision</td>
<td>Living a Mission and Vision Focused on Results</td>
<td>Social Awareness / Relationship Management</td>
</tr>
<tr>
<td>CH - Change</td>
<td>Leading and Managing Systems Change</td>
<td>Self-Management / Relationship Management</td>
</tr>
<tr>
<td>TL - Teaching &amp; Learning</td>
<td>Improving Teaching and Learning</td>
<td>Self-Management / Relationship Management</td>
</tr>
<tr>
<td>CR - Collaborative Relationships</td>
<td>Building and Maintaining Collaborative Relationships</td>
<td>Self-Management / Relationship Management</td>
</tr>
<tr>
<td>IP - Integrity &amp; Professionalism</td>
<td>Leading with Integrity and Professionalism</td>
<td>Self-Awareness / Self-Management / Relationship Management</td>
</tr>
<tr>
<td>HE - High Expectations</td>
<td>Creating and Sustaining a Culture of High Expectations</td>
<td>Self-Management / Relationship Management</td>
</tr>
</tbody>
</table>

**Coding Categories that Emerged from Semi-Structured One-on-One Interviews**

The following section of this chapter will display the responses from the interviews conducted with each participant of this study.

**Interview Question #1:** How would you describe your style of leadership?

Responses from this question included the following categories: positive school climate, collaborative relationships, and integrity and professionalism.

**Positive School Climate.** This category emerged from the response of four principals based on statements that emphasized the importance cultivating positive relationships with people within the building. Principal A described an “open door policy” where any school member – be it teacher, student, or parent, feel that they can approach him with any issue. Principal E stated the importance of creating a culture where people feel valued and empowered to do meaningful work with students.
**Collaborative Relationships.** All of the principals recognized that much of their leadership is a result of the work they do with others and the effort taken to harness the wisdom and expertise of groups of people. Principal B acknowledged that:

And you don't have to be the smartest person sitting at the table; in fact, many times you're not. And you may have more experience, you may have more background experience, but there are other people who can weigh you in. So I think the process of collaborative leadership is really important.

**Integrity and Professionalism.** All of the principals underscored the importance of creating a learning community where people are treated fairly, equitably, and with dignity and respect. Principal E described a leadership framework with four pillars: (1) Being genuine and honest so people can trust you, (2) to inspire and give people hope that they can do anything, (3) Having a clear vision, and (4) Creating a culture where people feel valued.

**Interview Question # 2:** Describe a time when you learned that something you said or did as a principal had a negative impact on a faculty member. How did you learn about it and what did you do when you learned this information?

The categories that emerged from this question are two-fold. First, risk taking and change were the themes of the words or actions taken by the principal that resulted in a negative impact among faculty members. Consequently, integrity and professionalism describe the manner by which the principal handled the issue.

**Risk taking / Integrity and Professionalism.** Principals D and E explored topics and projects that created some dissonance among faculty members. In the case of Principal D, for instance, an Institute Day speech given by the principal about becoming a better institution was misinterpreted by some faculty as criticism for the quality of the current work. To address the
issue, Principal E sought many conversations that ultimately created a climate where diversity in point of view was supported.

*Change / Integrity and Professionalism.* Principals A, B, and C initiated issues that created dissonance among faculty members. For example, Principal B asked for data on the school’s literacy center - a highly regarded program for which the school had built quite a reputation. Teachers involved in the program thought that he was asking for data in order to dismantle the program and while it took some time, it became clear that the purpose of his request was to highlight the good work done by the program and the teachers. Principal B found himself engaged in various conversations to explain why the school would be prudent in having achievement data that didn't just rely on ACT scores. Principal C also thought that change brought on some anxiety among his teachers when he failed to filter the myriad of initiatives that the school took on a particular year. He learned this when even the more optimistic faculty members started displaying some anxiety. In all of these cases, a keen sense of self-management and social awareness – closely tied to leading with integrity and professionalism, allowed each of the principal to treat the human side of the issue with dignity and respect.

**Interview Question # 3:** Describe how you would handle a conversation with a teacher with whom you need to discuss his/her poor performance.

*Teaching and Learning* and *Mission Vision* were the themes that emerged from this question in that all principals described the importance of establishing the instructional expectations as well as the moral purpose of working with students from an early stage, especially with non-tenured teachers. Principal D described this work as follows:

I'll tell you I learned during the seven years of doing this, four at one school and three at the other school. There are a couple of things especially with the non-tenured teachers. I learned that you needed to let them know early and give them a chance to see if they can
show what they can do or not do, but keep them informed. So when you make a decision and that as you're coming close to the decision they're not surprised by it.

In having these conversations, the principals emphasized the need to approach the conversation from a human aspect and to address the emotional side of the issue. Principal E acknowledged this by saying:

So I had a lot of difficult conversations around both discipline and around not meeting that leadership threshold. And what I would say is, I always started with empathy. Whether it was a 15-year veteran or a new teacher in the sense of understanding that what I am asking is not easy. If it is somebody who is a veteran teacher, certainly I often talked to them about the fact that I know the world has changed for you. It used to be it was good enough for you simply to be a nice guy, sort of the sage on the stage and that you're so smart and knowledgeable and you can talk about what you're passionate about and that was okay and you can work independently. And now what you used to be highly regarded for now we say, "Well, yeah, it's not good enough anymore." And it's almost a little bit unfair.

While difficult to do so, the principals accepted their responsibility for conducting crucial conversations with individuals for the sake of student achievement.

**Interview Question #4:** What evidence might show that you have created a positive climate or culture in the school?

**Community.** Principals A and E took pride in building a sense of community where parents became an integral part of the school. In the case of Principal A, the comfort level of parents to come into the school and discuss issues – especially from a particular group of parents who were once hesitant to come into the school provided the evidence for an improved school climate. In fact, attendance of student-led conferencing also increased from 18% to 65%.

Principal E said that “drugs, gangs, and violence” were words that community members once said about his school and were eventually replaced by “Math, Science, and technology” after many years of re-branding it as a STEM (Science, Technology, Engineering & Math) school.
For Principal B, it was important that the sense of community extended beyond the school hours, and that there was presence in extracurricular activities from many of the faculty members. In fact, it was during these social gatherings such as athletic events that allowed him and his staff to get to know one another and to eventually build a sense of family. In doing so, he was better able to relate to teachers and to understand their individual situations especially when an issue manifests itself in the classroom. Principal B described the importance of this work:

And you have to be at attention about what you do. So if somebody is over here and you're kind of sitting off to the side: Hey, you okay? What's going on? How was your week? Or you see somebody's eyes down the hallway; that's what we ask all staff to do, right? Look the kids in the eyes. If they are having a bad day, it will be in their eyes. Take the time. And so you do that, you model that with your staff and your students. We pretty much knew exactly what was going on with everybody. You know, teachers, there is no keeping a secret.

Creativity and Imagination. For Principals C and D, positive change became evident when teachers felt comfortable to innovate and initiate ideas on their own. Principal C described a recognition ceremony that he started with his staff which teachers made their own when they started recognizing fellow teachers for small yet significant acts of creativity in teaching. This also became evident when teachers were willing to share ideas with one another without being prompted; something that teachers might have been hesitant to do at some point.

Principal D took comfort in knowing that many of the initiatives he started were still very much alive even after he left, a sign that the school found the work to be meaningful and important for students.

And so the most important thing for me having only been there three years in my mind was: Did I set up systems that -- I used to tell people the best thing I could do is set up the system, so I don't have to be there anymore and I worked myself out of a job. Because it's about other people taking the ownership and the power in order to be able to do things.
Interview Question #5: Describe a time when you were able to get members of the faculty to follow you around an unpopular issue.

Collaborative Relationships. Every principal responded that consensus building was made possible by working with various individuals and teams in order to promote the importance of the topic that they wanted to initiate. Principal A took advantage of teacher leaders who were proponents of student-led conferencing, as they became the "cheerleaders" that promoted the value of the idea. Principal B relinquished authority to other members of his staff to take the lead in data-informed decisions. Principal C harnessed the collective knowledge of his staff anytime the school was asked to improve their scores or to respond to mandates such as increasing class size, Common Core or RtI (Response to Intervention). Principal D relied on research and the work of other experts to help faculty understand why PBIS (Positive Behavioral Interventions and Supports) was an appropriate response to student discipline issues. Principal E invested a lot of time to discuss the idea of being a STEM school with teacher leaders, many of whom already possessed a certain level of expertise on the topic. He further stated:

I know how to ask the right questions, and I do have some strengths that I bring to the table. Bring in partners and relationships and resources, but I do think one of the keys to strong leadership from an emotional perspective is being confident enough to not feel like you have to be the one with the answers. In fact, it is better that you're not and it's very disarming, I think. It's part of being genuine. It goes back to being an honest broker, being an honest individual. If I don't know it, I will tell you I don't know it.

Interview Question #6: How would you define emotional intelligence?

Principal A - The ability to maintain your senses especially when difficult issues come up. Not to get angry, not to get upset, to deal with the issues, to deal with the problem; if I can't think of a solution of today or a plan of attack, then maybe tomorrow.
Principal B - To me emotional intelligence is not about your own intelligence it is about where the other person is at. Being able to recognize what's going on with someone else.

Principal C - Emotional intelligence is street smarts. You got people that might be book smart, but the emotional intelligence requires a connection and requires you to, if you are going to be emotionally intelligent, you have to be able to read people by listening to people and getting a view of what is it that makes them tick.

Principal D - It would be having the where with all to study the surroundings and the climate.

Principal E - It's the aptitude to interact with the world around you with the individuals in whatever your space is and whatever environment you're in. So it's your ability to respond and to react to both yourself and to others depending on what's going on.

Interview Question #7: What are your impressions of your Emotional Intelligence Appraisal ® results?

Principal A was not surprised by his score and understands that there are some areas that he needs to continue working on.

Principal B felt the scores were just about right. However, because of his situational leadership style, some questions were more difficult to answer.

Principal C found that it gave him perspective on his strengths and areas that he might need to work on.

Principal D thought it was an interesting survey but wasn't surprised much by the results. Made him think that it would be a good tool to use with his own team.

Principal E didn't understand with so few questions how do you characterize where you are whether it is strength or not strength. But overall, he thought he scored fairly well.
Interview Question #8: What do you think is your strongest leadership trait that led to your recognition as high school principal of the year?

**Relationship Management.** Four principals explicitly stated that they were deliberate about their work in building relationships with people. Principal A described this work as one of being a team builder:

You know the visibility, got confidence, the conversations, the trying to be positive for the most part all the time, taking an interest. But I think, building those lines of trust and the chance to be able to get people to kind of see forward what I was trying to do. And then once they are part of it, they have a very active voice, if not a leadership role in whatever we are trying to do.

Principal B explained that, “people don't really care what you know; they care how you care about them first.” In fact, it was through the relationships he forged with even the poor performing students that another student noticed and thus, insisted on nominating him for the award.

**Self-Awareness.** For Principal D, constantly reflecting on his words and actions has helped him be thoughtful about his impact as a leader.

Every time we go through something and we have something that happens, whether it is good or bad, I try to figure out well what made it happen that way so that I can -- as things happen now, I can see it coming, and I can gauge better about how we might want to respond to it or be able to navigate something ourselves. So that to me has been the most important piece. And then helping others through that navigation by being reflective and hopefully asking questions that force them to think about what we are doing.

Questions 9 and 10 were answered simultaneously by participants.

Interview Question #9: How has research on emotional intelligence influenced leadership/principal development?

Interview Question #10: What type of training or professional development has influenced your emotional intelligence?
Principals A and E credited their graduate school studies in that they were introduced to thought leaders such as Michael Fullan and Mike Schmoker. Although their work was not explicitly labeled as emotional intelligence, they felt that the research of these individuals helped them understand how to improve the system by addressing the emotional development of both the leader and the people within the organization.

Principal C attended a couple of workshops on leadership development but reflected that he learned much of what he knows now about being an emotionally intelligent leader from his mentor, the former principal turned superintendent of the school. He described this experience below:

Obviously, I got my teaching degree, but I never really had a mentor as a teacher. And as an administrator it was the first time somebody sat down like this, like I'd come in and sit down and my superintendent would be like: Why don't you sit there. I am going to go through a conversation with a parent and I want you to watch what I do. I want you to watch how I actively listen. And I want to you to pay attention to my tone of voice and how I talk. And so he'd go through those things and then he would actually meet with the kid and we'd sit down and talk. So he actually showed me some of those things. I was like: Wow, this is really nice and I took some notes. And really, that was the first glimpse I had into it, he didn't call it emotional intelligence, but in my mind that's what it was based on.

Principals B and E reflected that emotional intelligence has not played a significant role in leadership development. However, Principal B said that “like everything else is that it's another skill set that once shown works.”

**Interview Question #11:** Do you believe your strengths as demonstrated in the *Emotional Intelligence Appraisal®* are innate or have they developed over time?

All of the principals explained that their emotional intelligence was something that was developed over time and was mainly a result of their experience as leaders. Principal A said that time and experience as principal allowed him “to learn from different issues, different concerns, and different people.” Principal E explained that he was more intentional about working on his own
emotional intelligence, particularly in the area of self-awareness and claimed to have read “every book related to popular psychology and understanding yourself and social and emotional needs.”

Nevertheless, Principals B, C and D reflected that certain aspects of their emotional intelligence were innate. Principal C recalled learning how to talk to people by watching his mother, who was a drama teacher, and his father, who used to speak a lot. Meanwhile, Principal D said that being reflective was something that he practiced even as a teacher, and became even more necessary as principal with various stakeholders. He further stated that “it requires you to not only think about what's going on in the building, but it requires you to think about yourself.”

**Interview Question # 12:** If you had to take the *Emotional Intelligence Appraisal* when you first started in your role as a principal, do you think your score would have been the same? Why or why not?

Principals A and B believed that their scores would have been different but were unsure which areas would have rendered different results. Principal C was certain that he would have gotten a lower score and explained that “You're put in a position now and you are always thinking of other people besides yourself by now and more leadership/managerial role.” Principal D reflected that the change could be attributed to his evolution as a leader:

I could tell you because I can even think of some of the things and how I handled it as a department chair and a division head compared to as a first principal and a second time principal, and then now in my role now. I can definitely see an evolution in how my behaviors are being formed over time.

Principal E was the only participant who said that his score would have been the same. With education as his second career, he felt that because by the time he became a principal, he was already “very self-aware” and that helped him be successful in his new role.
Questions 13 and 14 were answered simultaneously by participants.

**Interview Question #13:** In what ways has your emotional intelligence influenced your role as a principal?

**Interview Question #14:** Self-awareness, self-management, social awareness and relationship management are the domains that comprise emotional intelligence. Which one, in your opinion, has had the most effect in your success as a leader?

Principal A said that social awareness and relationship management go hand in hand and described its importance as “The awareness of those around you, the students or teachers, that would probably be the biggest, the most important one. Only the awareness of the ability of them to communicate effectively with you.”

Principal B acknowledged the importance of relationship management and explained: “I was put in a position where I had to build relationships with people and build that trust first. I knew I am not going to accomplish anything.”

Principal C finds himself employing skills in social awareness for some of the unique situations that he has had to face as a principal. He described the importance of being sensitive to the emotional needs in the following scenarios:

We’ve had unfortunately either recent graduates or current students -- we have had 12 deaths in the last seven years. That above all has taught me a lot about emotional intelligence because it doesn't matter what you have in a policy in regards to a student death. I'm a parent, I'm grieving, I'm pissed, and you're going to do something to remember my kid. I want something up at the school, I want their name on it, I want it in lights. I saw more awful scenarios I went through with that. And you just learn a ton on how to -- and there is no easy way. We just had a student die of an overdose, a recent grad. Going to the wake, still all you can do is use your emotional intelligence as best you can and try to go there.
As with his previous response, Principal D believes that self-awareness has helped him become more mindful of his leadership role. Similarly, Principal E recognized that self-awareness has helped him in his own journey. He described this experience below:

I sold the staff on myself and then they trusted me enough to follow where I was leading them, which is an interesting way of looking at it, that I first sold them on me. That I invested in them, I believe in them, I know them and I am competent enough to share with you: this is the world we live in and what we need to do to move forward. And they trusted me enough to take them there.

**Interview Question #15:** In your opinion, how might emotional intelligence contribute to the preparation of future high school principals?

Principals A, B, and D articulated the importance of emotional intelligence in the work of school leaders, especially with the changing landscape of schools. As such, Principal D said:

I think it's going to have to be more explicit in the future. I think with the things the state requires us to do and how we have to message and how we have to work our faculty and our administrators because things are coming fast and furious. That if you don't have that piece to it can become very problematic.

Principal B stated that the current principal evaluation has a place for this type of feedback:

Well, I think it needs to definitely be a part of the principal training. I think it's something that in our own relationships, in our personal way of reflecting I think we have an opportunity under PERA with the principal evaluations.

Principal E responded by saying that the connection between leadership preparation programs and emotional intelligence needs to be more explicit. He stated:

You know what it's because I don't know when we're talking about leadership that we are conceptually thinking of it in the context of emotional intelligence. There is not a connection there. I think if they're in the research and periodicals, I think if they start making that connection then it would make sense. Until this conversation, I never tied the two.
Presentation of Data Summary

This research was a mixed method study that examined the relationship between the principals’ emotional intelligence and their success as instructional leaders of their respective schools. This research study utilized a triangulation of data to determine common themes that emerged from multiple sources of data.

In order to explore the question of what it takes to be a successful high school principal, past and current recipients of IPA’s (Illinois Principal Association) Illinois High School Principal of the Year Award between 1991-2012 were identified. Five principals from this group of 20 participated in the study.

This chapter presented three data sets for each of the participant in the study. First, a profile of each school student growth data from each of the high schools, starting with the year before the participant won the award, the year the award was received and the most recent school year for which the data were also included. Student growth measure was based on the percentage of students who met or exceeded standards in the subject areas of Reading, Math, and Science on the PSAE. This data set revealed that each of the school experienced a decrease in the percentage of students meeting or exceeding state standards in at least one of the subject areas included in the PSAE from the time the award was won and the most recent school year (2012-2013). Four of the five high schools experienced a growth in at least two subject areas.

Next, data from the 2013 5 Essentials Survey were presented for all but one school; data from School E was obtained from its own school climate survey. This data set revealed that the majority of teachers indicated that they feel respected by their principal, but that a small percentage of teachers thought their principal does not participate in instructional planning with teams of
teachers (less than 50% for two out of four schools) or knows what’s going on in their classroom (less than 59% for four schools).

Last, the emotional intelligence of participants was examined through two lenses. Results of the Emotional Intelligence Appraisal ® were displayed for each participant as well as the entire group. The average score of the group in the area of personal competence is 89, while their average score in the area of social competence score is 86. These averages indicate that, for this group, there is a relatively even balance of skills. Individual participant’s scores were compared to the group and to the benchmark data. While individual participants had varying strengths, group results highlight that social competence is the area in which 4 out of 5 participants had a lowest score.

Data to answer research questions 1, 4, and 5 were obtained through the 60-minute interview that the researcher conducted with each participant. While some of the patterns that emerged from these qualitative, self-perceived data demonstrate the value that these participants put on a collaborative leadership style with an emphasis on relationship management, the participants of this study, as a group, scored the lowest in the area of social awareness as evidenced by the quantitative, self-perceived data from the Emotional Intelligence Appraisal ®. Moreover, as a group, these participants have not necessarily acquired any specific training in emotional intelligence yet agreed that it should be an explicit component of leadership development and preparation programs.

The overall data summary for this study is illustrated in Figure 37. Here, it is revealed that the profile of successful high school principals who were recognized by their peers are individuals who have high levels of self-management but low levels of social awareness. Ironically, these high school principals believed in the importance of collaborative relationships and that as principals,
one of their fundamental responsibilities as leaders was to cultivate the trust of the people with whom they work. The high schools where each of the participants worked as principals share a similar quality in that teachers from these schools regard their principal’s strength as a supportive leader. It is important to note that while this research presented data from the 5 Essentials Survey, these data can only be directly linked to Principals C and E. Principals A, B, and D were no longer the principals in their respective schools when the 5 Essentials Survey was administered.

Similarly, growth in student achievement data can only be directly linked to Principals C and E, both of whom still serving in the role of principals in their respective schools during the 2012-2013 school year. Hence, data from the schools’ academic achievement showed no consistent trend in the percentage of students who meet or exceed standards in the Prairie State Achievement Exam.

The findings of this study bear some implications for further research as well as educational practice – both of which will be discussed in detail in the next chapter.
## Emotional Intelligence Appraisal

### Principals A, B, & D
(Principals without direct linkage to 5 Essentials Survey and Student Achievement Data)
- Strong in self-management
- Weak in social awareness

### Principals C & E
(Principals with direct linkage to 5 Essentials Survey and Student Achievement Data)
- Strong in self-management
- Weak in social awareness

### 5 Essentials Survey and Student Achievement Data
- Faculty highly regards principal for supportive leadership
- No significant trend in student achievement
- Highly regarded by faculty as supportive leader
- No significant trend in student achievement

### Interview
- Believe in the importance of collaborative relationships
- Believe in the importance of collaborative relationships

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**Figure 37.** Overall Data Summary for this Study
CHAPTER V

DISCUSSION

Overview

This chapter provides an overview of the research, the methodology used to conduct this research, a summary of the research findings, and connections made between the study and related literature. Furthermore, this chapter will also discuss the limitations of the current study, recommendations for future research, and implications of this study’s findings on educational practice.

Summary of Rationale and Research Methods

What is the mark of a great leader? Is success a result of being in the right place at the right time or is it a result of an individual's hard work, commitment, and perseverance? Extensive study has been conducted to suggest that principals play a key role in school improvement and improving student achievement outcomes (Bryk et al., 2010; Cotton, 2003; Fullan, 2007; Labby et al., 2012; Lambert, 2003; Leithwood et al., 2008; Marzano, Waters, & McNulty, 2005; Sebastian & Allensworth, 2012; Waldron et al., 2011).

Moreover, a number of research claims that principal leadership has a strong relationship to the climate of the school and, in turn, on student achievement (Cotton, 2003; Leithwood et al., 2008; Marzano, Waters, & McNulty, 2005). To examine the importance of principals in harnessing the talent and the collective commitment of faculty and staff is to demystify the true meaning of educational leadership and in turn – success. While history might have suggested that effective principals only required having the skills to manage the operations of the school, the expectations
for today's school principals are calling for a distinct type of leadership. Chappuis (2004) cited the work of Fullan who “predicts that leadership will be to this decade what standards-based reform was to the last” (p. 18). As educational reforms become more complex, the role of the principal as a change agent also becomes more challenging and dynamic. With this comes the question, what makes a successful principal?

Goleman et al. (2002) stated the importance of emotional intelligence and that leaders, among their many important duties and responsibilities, have to realize one of their most important obligation as leaders – their primal leadership drive that will steer the emotions of those they lead in the right direction. These findings were echoed by Hinton’s (2008) research in that principals in schools that made gains in student achievement demonstrated leadership traits that can be characterized as higher levels of emotional intelligence, particularly in the levels of self-awareness, social awareness, and relationship management.

Participants of this study included five principals who were recipients of IPA’s (Illinois Principal Association) Illinois High School Principal of the Year Award. To better examine the extent to which emotional intelligence has had an influence on their work as principals, these participants were asked to complete the *Emotional Intelligence Appraisal®*. Additionally, they also participated in a 60-minute interview as a way to gain additional insight on how they might have perceived their leadership qualities and practices that have contributed to their success as high school principals.

A closer look at success also prompted the researcher to examine the student achievement growth of the participants’ respective schools as well as data acquired from the 5 Essentials Survey. Thus, this research study utilized a triangulation of data to determine common themes that emerged from these sources of data.
Conclusions

Research Question #1: What are the attributes of high school principals who have been recognized by their peers and were recipients of the Illinois Principal of the Year award?

With a total average score of 89, results from the Emotional Intelligence Appraisal® revealed that personal competence is an area of strength for the participants of this study. Within this domain, self-management presented itself as the group’s strongest attribute.

Self-management is characterized as the ability to control one’s emotions and impulses and adapting to changing circumstances (Goleman et al., 2002). This competence includes self-control, transparency (trustworthiness), adaptability, achievement, initiative, and optimism.

This particular revelation from the Emotional Intelligence Appraisal® is consistent with the qualitative data of this study. Coding categories identified in the one-on-one interviews correspond with the self-management dimension of the emotional intelligence framework as defined by Goleman et al. (2002). Table 14 displays how the domain of self-management corresponded with the performance indicators included in the Illinois High School Principal of the Year Award rubric as well as the Illinois Performance Standards for School Leaders.

An analysis of the participants’ responses during the interviews explained how these leaders have exercised their self-management. For instance, Interview Questions #2 and #3 asked participants how they have handled difficult conversations with faculty members. In such cases, a keen sense of self-management and social awareness – closely tied to leading with integrity and professionalism, allowed each of the principal to treat the human side of the issue with dignity and respect.
Table 14

**Coding Categories Linked to Emotional Intelligence Framework**

<table>
<thead>
<tr>
<th>Code- Illinois High School Principal of the Year Award</th>
<th>Definition</th>
<th>Corresponding Emotional Intelligence Dimension (Goleman, 1998; Goleman et al., 2002)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CI - Creativity &amp; Imagination</td>
<td>Demonstrates creativity and imagination in bringing about positive change</td>
<td>Self Management</td>
</tr>
<tr>
<td>R - Risk taking</td>
<td>Willing to take risks to improve student learning</td>
<td>Self-Management</td>
</tr>
<tr>
<td>AI - Active Implementation</td>
<td>Moves actively to implement the goals and objectives of the school</td>
<td>Self-Management</td>
</tr>
<tr>
<td>A - Anticipates Problems</td>
<td>Anticipates emerging problems and acts effectively to resolve them</td>
<td>Self-Management</td>
</tr>
<tr>
<td>CH - Change</td>
<td>Leading and Managing Systems Change</td>
<td>Self-Management / Relationship Management</td>
</tr>
<tr>
<td>TL - Teaching &amp; Learning</td>
<td>Improving Teaching and Learning</td>
<td>Self-Management / Relationship Management</td>
</tr>
<tr>
<td>CR- Collaborative Relationships</td>
<td>Building and Maintaining Collaborative Relationships</td>
<td>Self-Management / Relationship Management</td>
</tr>
<tr>
<td>IP- Integrity &amp; Professionalism</td>
<td>Leading with Integrity and Professionalism</td>
<td>Self-Awareness / Self-Management / Relationship Management</td>
</tr>
<tr>
<td>HE - High Expectations</td>
<td>Creating and Sustaining a Culture of High Expectations</td>
<td>Self-Management / Relationship Management</td>
</tr>
</tbody>
</table>

**Principal A:** And we had a lot of buy-in and I think for the most part if you asked teachers who worked for me they would see me as very supportive and very visible, too. But also I have a keen interest of how things are going because if they had a difficult parent, I’ve told them don’t do that battle alone, let me be there.
**Principal B:** There's a big trust level. We were a team and we all were working toward the same goals. And so if something was going poorly and it wasn't going well, I would keep trying to frame other questions to draw out and see if they could see other perspectives.

**Principal C:** And if a parent comes in and they are upset, it's usually not the facts – it's usually emotion. And there is usually something behind it. And so the idea of – if I can stay calm and we can talk this through. We just had a meeting today on a kid and part of is just listening and good customer service skills and just being willing to have the conversation and respect the other person's emotions in what's going on. That takes practice, it really does.

**Principal D:** The immediate thing for me, how did I go about it, was about talking to people and listening to people to try to figure out what the truth was in what people were feeling. It is sort of like if one parent complains, it doesn't mean they are all complaining.

**Principal E:** So I had a lot of difficult conversations around both discipline and around not meeting that leadership threshold. And what I would say is, I always started with empathy.

These examples are consistent with Goleman’s (1996) findings who described the importance of self-management, in that a leader who is skilled in this area can effectively manage their tendencies – knowing that in doing so, they can pursue larger, more important goals.

Yet it's important to note that self-management did not only mean self-control for this group of participants. In fact, transparency or trustworthiness is also an indicator of self-management. This manifested in one of the strongest themes that emerged from this research question and in this case, the importance of collaboration and the extent to which this group of leaders cultivated relationships as described by the participants below:
Principal A: But I think, building those lines of trust and the chance to be able to get people to kind of see forward what I was trying to do. And then once they are part of it, they have a very active voice, if not a leadership role in whatever we are trying to do.

Principal B: There’s a big trust level. We were a team and we all were working toward the same goals. And so if something was going poorly and it wasn’t going well, I would keep trying to frame other questions to draw out and see if they could see other perspectives.

Principal C: Over the course of the next month here are some things that we are going to do to get back on track. We are going to do it together. And I think if you are able to do that, then that builds that trust. Then that builds that: Okay, if he is willing to do that, if he tells me that I’m doing something wrong, the least I can do is maybe look reflectively and okay, maybe I can do a couple of things differently.

Principal D: Our school improvement plan, I divided our building up into three particular teams and I put different people in charge of those teams and it was a variety of teachers and administrators. And though I attended the meetings, they were not my meetings. I was always given an update on where they were going. I would give my feedback on it, but I kind of let them decide where they were going to go with it because they were the ones who were going to do the work with it.

Principal E: And I would meet with every department chair every single month, one-on-one. Now our structure here, we have an associate principal who supervises the department chairs, and so I don’t take anything away from them. They are running their instructional leadership team and meeting with them. But I would pull them in. So once a month we would meet and talk about all their staff and what’s going on and really for me to understand and stay connected.
Figure 38 displays relationship management tying with self-awareness as the second highest skill of the group based on their Emotional Intelligence Appraisal®. Interview Question #8 asked participants to identify what they believe to be their strongest leadership trait that led to their state-awarded, peer recognition. Relationship management was a strong response among the participants in that four of the five principals explicitly stated that they were deliberate about their work in building relationships with people. These results support the emotional intelligence framework that defines how relationship management competence speaks to a person’s ability to use his/her awareness of themselves and of others to manage their interactions (Goleman, 2006).

![Bar chart showing self-awareness, self-management, social awareness, and relationship management scores for research participants and TalentSmart benchmark data.](chart.png)

*The participant’s profile is based on 5 respondents.  
**TalentSmart benchmark scores are based on more than 1,000,000 working professionals.

Figure 38. Four Core Skills Results of Participants on Emotional Intelligence Appraisal® Compared to TalentSmart Benchmark Data

A certain level of confidence in being risk-takers and visionaries is another finding of this study. Interview Question # 2 asked participants to describe a time when they learned that something they said or did as a principal had a negative impact on a faculty member. In each of the scenarios described by participants, dissonance was a result of the principal challenging the
status quo and prompting teachers to improve their level of performance. Here, the principals were able to count on their self-awareness, another strength that came out of their score on the Emotional Intelligence Appraisal®.

Research Question #2: What are the attributes of the schools that these principals lead as measured by student achievement growth and the 5 Essentials Survey?

While no reform can claim that it is the silver bullet that will improve schools, researchers from the Consortium on Chicago School Research at the University of Chicago (Bryk et al., 2010) attest that there can be gains in student achievement by paying attention to certain key components when organizing the school culture. These key indicators include effective leaders, collaborative teachers, involved families, supportive environment, and ambitious instruction, and would later be developed into what is now called the 5 Essentials Survey.

An analysis of the teachers’ responses from the 5 Essentials Survey overwhelmingly revealed the importance of trust and respect in describing the relationship between principal and faculty. It is important to note that School 5 did not have results from the 5 Essentials Survey but rather its own school climate survey. Table 16 displays the findings of these two surveys and reveal that while the five high schools had significant differences in student demographic and academic achievement, teachers in these schools had similar opinions in sharing that they valued a principal who:

- Sets high standards for students’ learning
- Place an emphasis on teachers’ professional development
- Has expectations for instructional goals that are clear to staff
- Has confidence in the expertise of teachers
- Place the needs of children ahead of personal and political interest
- Encourage teachers to take risks (question only included in School 5’s survey)
- Encourage teachers to be involved in making school-wide decisions (question only included in School 5’s survey)
### Table 15

**Responses from 5 Essentials Survey Data and School Climate Survey**

<table>
<thead>
<tr>
<th>5 Essentials Survey</th>
<th>% Agree or Strongly Agree</th>
<th>School Climate Survey – School 5</th>
<th>% Agree or Strongly Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has expectations for instructional goals that are clear to staff</td>
<td>more than 70% for Schools A, B, &amp; D; more than 60% for School A</td>
<td>I know what the principal expects of me as a staff member at this school. (N=57)</td>
<td>86</td>
</tr>
<tr>
<td>Place an emphasis on teachers’ professional development</td>
<td>more than 70% for Schools A, B, C, &amp; D</td>
<td>The principal and administrative team encourage staff members to be involved in making decisions for the school. (N=58)</td>
<td>74</td>
</tr>
<tr>
<td>Has confidence in the expertise of teachers</td>
<td>more than 70% for Schools A, B, C, &amp; D</td>
<td>The principal and administrative team provide useful feedback about my professional practices. (N=58)</td>
<td>72</td>
</tr>
<tr>
<td>Sets high standards for students’ learning</td>
<td>more than 70% for Schools A, B, C, &amp; D</td>
<td>My supervisor has confidence in my ability to do my job. (N=58)</td>
<td>98</td>
</tr>
<tr>
<td>Place the needs of children ahead of personal and political interest</td>
<td>more than 70% for Schools A, B, C, &amp; D</td>
<td>I am encouraged to take risks by trying new techniques and ideas to improve my professional work/skills. (N=57)</td>
<td>93</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The administrative team keeps staff members focused on shared purpose, continuous improvement and collaboration. (N=58)</td>
<td>87</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The principal makes decisions that are in the best interest of the students. (N=59)</td>
<td>90</td>
</tr>
</tbody>
</table>

These findings reaffirm the study conducted by the Consortium on Chicago School Research at the University of Chicago (2010), which underscores the importance of a supportive school environment and effective school leaders. This study explained how schools with strength in these areas – regardless of student and school characteristics such as poverty, race, gender, and neighborhood characteristics, are more likely to improve student learning (Illinois State Board of Education, 2013, para. 4).
Such that the responses from the 5 Essentials Survey could be linked to the role of the principal in fostering a positive school climate, this study asserts that successful leaders come from schools with a profound appreciation for leaders who can not only harness the collective commitment of faculty, but one who can also inspire and develop others (Barsade, 2002; Cherniss, 2002; Dearborn, 2002; Goleman, 2006, 2002; Maulding, 2012; Waters et al., 2003). That is, successful leaders come from schools that value leaders with high levels of social awareness and relationship management.

With respect to student achievement, Table 16 shows that no particular trend emerged from the data collected by this study in that all schools experienced both an increase and decrease in student growth in the years before, during, and after the participant was awarded as the Illinois High School Principal of the Year. Nevertheless, a growing number of research that are currently being discussed by organizations such as The Council of Chief State School Officers (DePascale & Gong, 2013) raises questions about the comparability of results from high stakes assessments and using these measures to identify student performance. This is particularly important to consider given the variation presented by subject area tracts that exist in high school settings. This finding will be discussed later in the chapter when the researcher makes recommendations for future research.
Table 16

Percent of Students Meeting or Exceeding State Standards on PSAE

| Source: Data retrieved from www.isbe.state.il.us |

Research Question #3: What is the emotional intelligence aptitude of these principals as measured by the Emotional Intelligence Appraisal®?

Figure 39. Group Profile on Four Core Area Skills of Emotional Intelligence Appraisal®

*The participant’s profile is based on 5 respondents.
**TalentSmart benchmark scores are based on more than 1,000,000 working professionals.
**Strength to Capitalize On**

Within the context of organizations, Goleman cites the work of Barsade (2002) who explained that in any given group, the most powerful person in the room has the ability to influence the emotions of everybody else. For the work of principals, this means creating an emotional climate that can be characterized by positive interactions among the people within it. This places a significant challenge for principals to serve as the model for strong emotional intelligence. This is of particular importance to the findings of this study in that self-management is the strongest skill of this group as displayed in Figure 54. What this reveals is the group’s ability to exercise self-control, be transparent and trustworthy, be adaptable and optimistic, display achievement, and have initiative – all of which are indicators of self-management. Beyond the obvious reasons for why one should cultivate skills related to self-management, principals who are able to manage their emotions have the added benefit of serving as a good role model for the staff by staying focused on the work rather than distracted or even derailed by their emotions (Cherniss, 2002; Reynolds & O’Dwyer, 2008).

**Strength to Build Upon**

Bolman and Deal (2008) warned that the “…primary cause of managerial failure is faulty thinking rooted in inadequate ideas” and that leaders “…too often rely on constricted models that capture only part of organizational life” (p. 21). This would suggest that effective leaders must be sensitive to not only the myriad of activities that can happen during any given time in the school but also to the diverse and complicated emotional states of the people within the school.

Furthermore, in a research conducted by Maulding et al. (2012), social awareness was emphasized as a person’s ability to display a level of sensitivity toward the emotions of other people. Inherent to this competency are the skills of listening and observing, skills that were also
implied by this study when the researchers mentioned that, “the leader’s ability to appreciate, respect, and learn from diverse viewpoints strengthen collaborative efforts” (p. 26). These findings contradict the emotional intelligence score of this study’s participants in that their average group profile indicated that social awareness is an area for growth. Additional analyses were conducted to identify the lowest rated emotional intelligence behaviors across the group. Three members of the group had “Failing to spot the mood in the room” as one of their three lowest items. “Missing out on other people’s non-verbal cues” was also a lowest item for three out of five participants. Two out of five participants had “Not paying attention to other people’s feelings” in their lowest items.

In that the participants of this study included all male high school principals, additional questions are raised regarding the differences in emotional intelligence and leadership strengths of male and female high school leaders (Brunner & Grogan, 2007; Budde, 2010; Dziewior, 2009; Haddick, 2008; Wexler-Eckman, 2004). In particular, a study conducted by Dziewior (2009) revealed that social competency was strength for female high school principals while an area for improvement emerged in the area of personal competence, noting that participants tended to concentrate on leadership when it involved others rather than focusing on their own self-awareness. Further implications of these results will be discussed in Research Questions #4 and #5.

**Research Question #4:** How might a high school principal’s emotional intelligence contribute to his/her leadership practices and consequently, his/her success as an instructional leader?

This study’s literature review discussed the distinct challenges of high school principals, and how demands placed on them appear to be even more insurmountable with respect to expectations for increasing student achievement while complying with federal mandates and
numerous accountability measures (Metlife, Inc., 2013; Cooley & Shen, 2005; Benveniste, 2002; Goodlad, 2002; Poplan, 2001; Sergiovanni, 2000).

With self-management as the strength of this successful group of high school principals, this researcher asserts that in striving for excellence, principals should be cognizant of their own emotional intelligence especially as it affects the people with whom they work. Furthermore, this research also concludes that the strength of successful principals result from high levels of assertion, comfort, drive, time management, commitment, self-esteem, and stress management while also maintaining low levels of aggression, deference, and change orientation – behaviors that are related to self-management. Principal D explained that delivering a serious message did not necessarily mean raising his voice but one that can be conveyed through other means of non-verbal communication. Principal D described this in the following scenario:

The tenured teachers and the non-tenured as well, if it's something that's going to go to a notice of remedy to help them understand the fact of the severity of it and a variety of things, what I do is a script everything out. That way I don't forget anything and I can take notes on it and sometimes if I had to, I'd have my assistant come in and I gave them an electronic copy of this and they took the notes within the questions that I was going to ask out there. So that is a tone of delivery, right? Even though it is not a tone as inflection of voice there is a tone in the room that is very different when they are walking in and seeing me and I'm not just having a conversation like I am having here.

For Principal E, acts of genuineness must be developed over time and becomes an advantage when he had to assert himself during difficult conversations:

And obviously it might be more complicated than that but even with people that I was firing for significant disciplinary reasons, I always had very good relationships because I was fair and honest and I would always go through process. And I met with them and they know me, that's all about the genuineness and being -- they can believe what I say when I am having a conversation.

I am using real language, not couched language, very clear and direct, and I would say things very clear and direct to ensure that they understood it. But then I was also genuinely supportive and understanding and empathetic and I really do mean that. I do know the world has changed and the rules have changed. And to some extent it's not fair.
The fact that social awareness was the lowest score for this study’s participants underscores that even for this group of successful principals, there is a need to develop the skills that are crucial in the shaping of interactions with other people. The literature review of this study included the work of Maulding et al. (2012) who claimed that leaders who fail to develop their emotional intelligence run the risk of being discouraged. Of utmost importance for leaders who strive to be excellent is cultivating democratic and collaborative relationships with their faculty, and the importance of communication as an underlying tone of the relationships built with faculty.

For instance, trustworthiness – as an indicator of self-management as well as relationship management, emerged as a quality valued by teachers based on the 5 Essentials Survey and the one-on-one interview. What this reveals is that these principals must pay attention to the people as much or arguably even more than the work of the school itself. This presents an additional dimension to Hinton’s (2008) research that defined success as the work of the principal based on academic achievement. In that the collective weakness of this group falls within skills related to social competence, it would benefit this group of participants to reflect upon their ability to manage relationships and awareness of their social surroundings. While their self-reported strength as evidenced from the interviews detailed efforts related to collaboration and building relationships, data from the quantitative measure of this study revealed that among some of the strategies that this group could immediately improve include: (1) Spotting the mood in the room; (2) Picking up on other people’s non-verbal cues; and (3) Paying attention to other people’s feelings. Thus, in their journey to excellence, principals must dedicate the same gusto on cultivating human capital as they do with any other school initiatives.
Research Question #5: Finally, what might be some implications for principal preparation programs, as well as leadership professional development, for high school principals, as they aspire to school leadership distinction?

Saxe (2011) stated that the emotional and social competencies of leaders are related to their ability to contribute positively to the transformation of an organization. But of even more significance is how this study supported the work of Goleman (1998, 2001) who asserted that social and emotional competencies can be taught and learned over a lifespan.

Interview Questions #11 and #12 included responses from the participants of this study and their perception of their emotional intelligence. Here, they explained how some parts of their emotional intelligence were innate but that by and large, these skills were developed over time, informed by experience and fundamentally a fruit of their own labor to become a better leader.

Principal A: And I am going from a content based to a skills based, you know. Those are all developed. Realizing what I said was the most important thing in room was a learned trait.

Principal B: So I think in my case it was just something that, yeah, I can't expect to know how the other person is feeling, so be cautious. I was good at it, but nobody's perfect. I think there was case to it, but then again, just listening to the leadership models. They are very, very specific about leadership and the qualities of leaders, and it's always that relationship.

Principal C: I think if you're human you find yourself making a mistake once in a while and you hope it is once in a while. If it's too many times then you really -- probably find yourself out of a job. I think a lot of emotional intelligence is also understanding the fact that you have to be willing to say: I was wrong, I'm sorry. If you don't have that then why would people listen to you?

Principal D: I think it's the reflective piece. The constantly asking myself, and it is also work that we are doing. Like at this school we do a lot of work about race and so we are very
intentional about asking questions about how race comes into the play of the experience of the students in the building and how race comes into play in the experience of the adults in the building. And so it requires you to not only think about what's going on in the building, but it requires you to think about yourself.

**Principal E:** And so I certainly went on a journey to make sure I knew what my issues were and what am I bringing emotionally to the table. What are my needs, what are my hot button issues and things that I need to resolve in order for me to have healthy relationships?

Goleman (2002) stressed the remarkable significance of emotional intelligence, stating that 90% of the competencies possessed by those who belong in senior leadership positions were attributed to emotional intelligence factors rather than their cognitive abilities. These findings are relevant to this study's discussion around leadership preparation programs and the extent to which emotional intelligence is integrated into leadership development. Interview Question #15 asked participants to comment on the importance of emotional intelligence and their responses echoed Goleman's findings about how emotional intelligence bears significance to the dynamic nature of principals' work as well as the changing landscape of education in general. When asked if emotional intelligence should be explicitly included in principal preparation programs, the participants responded as follows:

**Principal A:** I hope so.

**Principal B:** Well, I think it needs to definitely be a part of the principal training. I think it's something that in our own relationships, in our personal way of reflecting I think we have an opportunity under PERA with the principal evaluations.
Principal C: So I don't know what's holding us back. But I would love to see that happen more. I don't know if it's because you can't. And maybe you could put it into a textbook, but I really think that's a missing component.

Principal D: I think it's going to have to be more explicit in the future. I think with the things the state requires us to do and how we have to message and how we have to work our faculty and our administrators because things are coming fast and furious. That if you don't have that piece to it can become very problematic.

Principal E: I would see it more being called facilitated change for school leaders or something like that, but the entire content being focused on emotional intelligence and topics within it.

Implications for Educational Practice

The ever-changing landscape of schools calls for a new way to prepare and develop our school leaders. The combined impact of the principal on student achievement (Darling-Hammond et al., 2010; Kimball et al., 2009; Marzano et al., 2005; Reeves, 2009), his/her effect to promoting emotionally healthy schools (Cohen, 2010; DeVita, Colvin, Darling-Hammond, & Haycock, 2007; Leithwood, Louis, Anderson, & Wahlstrom, 2004; Rowland, 2008; Tableman, 2004), and the importance of emotional intelligence in the journey to excellence (Goleman et al., 2002; Maulding et al., 2012) implore us to put emotional intelligence in its rightful place on the principal preparation table.

The participants within this study displayed a keen sense of self-management and relationship management as attributes of successful high school principals. Hence, these competencies have prompted the participants to draw on their own strength as they empower the work of those around them, and to focus on school improvement as its most important outcome.
Moreover, this study illuminated shortcomings in the area of social awareness for this group of excellent principals. In that the work required to carry out the school’s initiatives such as teacher evaluation or those related to implementing the Common Core and Next Generation Science Standards will need to be collaborated upon by the principal and faculty members, it is even more crucial for principals to develop emotional intelligence skills such as empathy and organizational awareness.

As such, this researcher asserts that emotional intelligence should be integrated in leadership development curriculum – not only for aspiring principals but also as an explicit part of continuing professional development for all educational school leaders that are serving our schools and our students today. While we may not be able to prepare the expectations for schools and its leaders, the needs of human beings within the school will always require a supportive leader who has a profound understanding of his/her emotions and how such awareness can impact not only his/her relationship with others but consequently, the attainment of the school’s goals.

It is also here that this researcher would challenge this group’s understanding of collaboration. Beyond bringing a group of people to work together, true collaboration requires interdependent efforts. The foundations of professional learning communities (PLC) hinges on a profound understanding of collaboration and the role of the leader when the pillars of PLC are truly at work (DuFour & Marzano, 2011; Erkens & Twadell, 2012; Kanold, 2011). Here, principals must understand that collaboration moves beyond the superficiality of building consensus or having common work time for teams. True collaboration requires school leaders to be thoughtful about including diverse group of teachers that may have competing priorities and varying levels of commitment to the work. To achieve this complex work, school leaders must be skilled at carrying out communication that must be conducted at many levels.
Based on the interview portion of this study, this group of participants takes pride in what they have accomplished around establishing collaborative relationships. Nevertheless, additional analyses were conducted to identify the lowest rated emotional intelligence behaviors across the group. Three members of the group had “Failing to spot the mood in the room” as one of their three lowest items. “Missing out on other people’s non-verbal cues” was also a lowest item for 3 out of 5 participants. Two out of five participants had “Not paying attention to other people’s feelings” in their lowest items. In his book, *The Five Disciplines of PLC Leaders*, Kanold (2011) affirmed that leaders who aspire to foster collaborative relationships must first focus on changing himself/herself before trying to change others, and that goals can only be attained when the leader talks *with* rather than *to* others to build a shared understanding of the work that needs to be accomplished. Hence, the development of social awareness skills is not merely a supplement but rather a required component of every leader’s journey to excellence.

Different times also call for different ways to evaluate the performance of principals. A closer look at the rubric for Illinois High School Principal of the Year Award also brings some insight to what should be recognized in the work of principals. With student growth as the measuring stick of the school’s achievement and with 5 Essentials Survey being important enough to be mandated from all Illinois schools, this study asserts that these too should be integrated as essential components of the award.

These changes would support the increasing demand to recognize principals for their contributions and excellence in leadership not only through the lens of curriculum, instruction, and assessment, but also through their work in what can only be described as galvanizing their human resources (Darling-Hammond, 2010; Metlife, Inc., 2013). Essentially, principals are recognized for their ability to model values, beliefs, and attitudes that encourage others to higher levels of
performance. For this group of participants and other principals immersed in their journey to excellence, this means synchronized efforts in developing their self-awareness and self-management and realizing how these skills are interwoven into their social awareness and managing relationships with others.

Similarly, by virtue of its indicators, the Illinois Performance Standards for School Leaders allude to the personal and social competencies of the school leader and how his/her skills in these areas affect his/her ability to be a change agent. Nevertheless, this researcher asserts that this should be more explicit given what this study and its related literature have drawn out regarding emotional intelligence and its relevance to school culture, student achievement, and the success of high school principals. While principal evaluation has begun to include measures of student achievement, this researcher strongly asserts that it must also integrate measures of emotional intelligence such as TalentSmart’s 360° version of the Emotional Intelligence Appraisal®, a multi-rater assessment that would present some comparisons on how principals perceive their behavior and how those around them perceive such behavior.

Limitations of this Study

It is important to recognize that this research was presented with some limitations due to its design and methodology. The very definition of excellence, as recognized by awards such as that of the Illinois High School Principal of the Year raises some questions on what is valued among successful high school principals and the absence of emotional intelligence indicators as part of this definition. Furthermore, the fact that the Illinois High School Principal of the Year Award is a peer-nominated recognition also presents some questions on the credibility of the individuals that select the recipients of the awards, and the extent to which they fully understand all the components that comprise an excellent high school principal.
With respect to participants, this study only included five high school principals who were all males. With only two female principals from the possible participant pool of 20 principals who have won the Illinois High School Principal of the Year Award, the possibility of non-response from female principals must be considered.

This research also included growth on student achievement for the schools where the participants won the Illinois High School Principal of the Year Award. However, only two of the five participants have remained in that district and of those two, only one remains as a high school principal. As such, student achievement data for the years included in this study do not have a direct linkage between principal and school.

Additionally, data from the 5Essentials Survey were only available from 4 of the 5 schools. Although school climate survey data were included for School 5, the questions included on this survey about its leadership were combined with the faculty’s perception of the administrative leadership team, of which the principal is one of many other members. Moreover, in that the 5Essentials Survey has only been administered once during the 2012-2013 school year, data from the survey can only be linked to Principal C, who remains as the principal for School 3.

The Emotional Intelligence Appraisal® is a self-reported measurement tool. As such, results will rely on the respondent’s own perception. While the one-on-one interview questions were designed to bring into light the consistency between the Emotional Intelligence Appraisal® and the participants’ leadership practices, these too were based on the participants’ self-perceptions.

Recommendations for Future Research

The findings of this study revealed a relationship between high school principals’ emotional intelligence and their success as leaders. In particular, self-management was identified as strength
while social awareness was a weakness – even for a group who has been recognized by their peers as successful leaders.

Future research should include a larger sample of participants that would include female principals and how this might illuminate comparative descriptors between male and female instructional leaders. In addition to gender differences, aggregating demographic data of participants based on age, years of experience, and ethnicity may present some interesting revelations about the leaders’ journey to success.

Within the context of this research, success was defined as those who have received the Illinois High School Principal of the Year Award. Comparable awards from other respected organizations may present some understandings on the fidelity of the award and the criteria established by the Illinois Principals’ Association in granting such an award.

Findings from the MetLife Survey of the American Teacher (2003, p. 3) suggest that teachers believe their principals spend more time on reporting and compliance than on guiding and motivating teachers. Given that the Emotional Intelligence Appraisal® is a self-reported measurement of emotional intelligence, some consideration for a multi-rater assessment would present some comparisons on how principals’ perceive their behavior and how those around them perceive such behavior. For instance, TalentSmart offers a 360° version of the Emotional Intelligence Appraisal®, with the added features of getting feedback from multiple groups and an opportunity for raters to include open-ended comments that may allow for justification of their ratings.

Extensive study has been conducted to suggest that principals play a key role in school improvement and improving student achievement outcomes (Cotton, 2003; Fullan, 2007; Lambert, 2003; Leithwood et al., 2008; Marzano, Waters, & McNulty, 2005). Hence, longitudinal data that
explicitly connects the principal to the school for an extended period of time may present additional findings with respect to the relationship between the principal’s emotionally intelligent leadership and student achievement.

Summary

What is the mark of a great leader? The findings of this study presented some understandings regarding emotional intelligence and its relationship to the success of high school principals. This study asked the following questions:

1. What are the attributes of high school principals who have been recognized by their peers and were recipients of the Illinois Principal of the Year award?
2. What are the attributes of the schools that these principals lead as measured by student achievement growth and the 5 Essentials Survey?
3. What is the emotional intelligence aptitude of these principals as measured by the Emotional Intelligence Appraisal®?
4. How might a high school principal’s emotional intelligence contribute to his/her leadership practices and consequently, his/her success as an instructional leader?
5. Finally, what might be some implications for principal preparation programs, as well as leadership professional development, for high school principals, as they aspire to school leadership distinction?

This research was a mixed method study that examined the relationship between the principals’ emotional intelligence and their success as instructional leaders of their respective schools. A triangulation of data was used to determine common themes that emerged from multiple sources of data – that being the Emotional Intelligence Appraisal®, the 5 Essentials Survey, data on student achievement growth and responses from one-on-one interviews with the
five high school principals who were recognized as Illinois High School Principal of the Year.

Based on the data gathered and analyzed by this researcher, this study offers the following conclusions:

1. Successful leaders are those who:

   - Have high levels of self-management
   - Build relationships and value the importance of collaboration
   - Are confident of their vision and are not afraid to challenge the status quo

   This finding supports the study conducted by Maulding et al. (2012) whose study focused on the “non-traditional” leadership practices of 48 P-12 school administrators. Among the themes that emerged from analyzing the data collected in this study were the importance of the school leader’s vision as well as his/her ability to collaborate with others in achieving this vision.

   In that visionary leadership requires taking risks to challenge the status quo, this researcher contends that a leader’s self-management is not only complimentary but also necessary given the complex role of school leadership. For principals whose days are different from one day to the next, it is even more important to have an arsenal of self-management tactics. While self-management means being the boss of one’s tendencies, it does mean suppressing one’s emotions. A leader who is skilled in this area can effectively manage their tendencies, knowing that in doing so – they can pursue larger, more important goals. With personal competence, particularly in the area of self-management as the collective strength of this group, participants of this study understood that leadership requires profound attention to how principals position their emotional needs as an individual within the larger context of working with groups of people who look upon their leader as the barometer for the mood of the school.
Cherniss (2002) echoed the importance of self-management in the work of school leaders by stating that the nature of schools is one of highly charged environments. Beyond the obvious reasons for why one should stay calm, cool, and collected, principals who are able to manage their emotions have the added benefit of serving as a good role model for the staff by staying focused on the work rather than perturbed by their emotions.

2. Successful leaders come from schools that value a principal who possess high levels of social competence.

Emotionally intelligent leadership does not mean shaking hands and kissing babies. Beyond charisma, the emotional intelligence framework developed by Goleman et al. (2002) described social competence as those skills related to social awareness and relationship management. It is here that Barsade’s (2002) study on emotional contagion and its influence on group behavior becomes relevant. Also referred to as the “ripple effect,” Barsade contended that the strongest concentration of a group’s emotions is a result of the emotion coming from the most powerful person in the room. Hence, if the school’s climate is a reflection of the positive and negative interactions among all the members of the school, then the principal must acknowledge that he/she is largely responsible for the mood of the group.

This finding confirms Goleman’s (2006) stance that principals need to cultivate a school culture of warmth and trust. Data from the 5 Essentials Survey linked the role of the principal in fostering a positive school climate, and showed that successful leaders come from schools with a profound appreciation for leaders who can not only harness the collective commitment of faculty, but one who can also inspire and develop others (Barsade, 2002; Cherniss, 2002; Dearborn, 2002; Goleman, 2006, 2002; Maulding, 2012; Waters et al., 2003). That is, successful leaders come from schools that value leaders with high levels of social awareness and relationship management.
3. Even successful high school principals need to develop their social awareness.

Social awareness was the lowest average score for this group of peer-recognized high school principals. This particular finding reveals that even for this group of successful principals, there is a need to develop the skills that are crucial in the shaping of interactions with other people.

In the context of schools, as with many organizations that galvanize the collective energy of the people within it, interpersonal skills become crucial in communicating with people, and in bringing about a sense of hope and inspiration, especially during particularly difficult tasks.

The literature review of this study included the work of Maulding et al. (2012) who claimed that leaders who fail to develop their emotional intelligence run the risk of being discouraged. Of utmost importance for leaders who strive to be excellent is cultivating democratic and collaborative relationships with their faculty, and the importance of communication as an underlying tone of the relationships built with faculty.

Moreover, a leadership framework born out of a meta-analysis conducted by Waters et al. (2003) explained that effective leaders know how to dial the magnitude of change while tailoring their leadership strategies according to the needs of the people who will implement such change. Such that a discrepancy emerged from the quantitative and qualitative measure of the group’s skills in social awareness, this researcher asserts that an extended understanding of collaboration would bring into light the work involved in increasing social awareness. Leaders who strive for excellence must understand that social awareness becomes relevant as goals can only be attained when the leader talks with rather than to others to build a shared understanding of the work that needs to be accomplished.

4. In their journey to excellence, principals must dedicate the same gusto on cultivating human relationships as they do with any other school initiatives. Consequently,
principals should make it part of their professional practice to regularly and frequently reflect on their emotional intelligence growth.

Kanold’s (2012) thoughts on the disciplines of leaders elaborated on the importance of reflection and balance. Here, Kanold challenged leaders to find the time within their day to seek quietness and to strategically disengage in order to avoid burnout, frustration, and bitterness.

Within the context of emotional intelligence, Saxe (2011) cited the research of Goleman (1998b, 2001) showing that the competencies that comprise emotional intelligence can be taught and learned, and that the deliberate practice of working on one’s own emotional intelligence promote transformational leadership that bear implications for school reform efforts. While some might argue that time for reflection is an indulgence that can only reside in theory, this researcher argues that if principals continue to disregard the importance of seeking time to develop their emotional intelligence growth, then the whole school will also suffer as a result. Such was the argument made by Johnson (2005) in an article that outlined the reasons for why principals quit. When principals realize that their idealized image of their job no longer match the actual demands they face on a daily basis, they find themselves leaving the profession for which they had such a passion not too long ago.

Participants of this study explained how their journey as a leader involved intentional self-development and reflection. In that the collective strength of this study’s participants was in the area of self-management, this study brings attention to the notion that improvement of self as a leader is not an accidental happenstance but rather a deliberate and purposeful practice.

5. Emotional Intelligence training merits an explicit role in principal preparation/leadership development programs.
Numerous research have explored the dramatic change of the principal’s role (Cotton, 2003; Fullan, 2010; Leithwood et al., 2008; Markle & VanKoevering, 2013; Marzano et al., 2005; Reeves, 2009; Waldron et al., 2011; Waters et al., 2003; Whitaker, 2012) yet the role of emotional intelligence in leadership development is yet to be fully accepted. To illustrate, upon reflecting on the topic of emotional intelligence, participants of this study expressed an interest – in fact even recognizing that emotional intelligence should have a place within principal development programs.

This finding refutes Styron and LeMire’s (2009) study of principal preparation programs, stating that in order to prepare high school principals for the challenges of 21st century education leadership, greater emphasis should be placed on increasing principals’ skills in the management of Individual Educational Programs (IEPs), behavior plans, and testing. While these programs have an important part in the leadership responsibilities of the principal, this researcher clarifies that these are merely the work, and not necessarily sustainable leadership practices that would help the principal in the complex and dynamic challenges of his/her role.

Instead, this researcher echoes the claims made by Dearborn (2002) that emotional intelligence should be integrated in leadership development curriculum. While we may not be able to anticipate the demands that high school principals will face within the next 5, 10, or 20 years, the needs of human beings within the school will always require principals to be cognizant of his/her own personal and social competence and how emotions do, in fact, steer the work of people.

6. In developing comprehensive standards that determine excellence, principal evaluations and other systems that recognize the work of successful high school principals should equally value student achievement, school climate, and emotional intelligence.
McCollum’s (2012) recent study of nationally distinguished principals claimed that there are still conflicting priorities in the discussion of effective principals. McCollum cited numerous researchers (Cotton, 2003; Hoyle et al., 2005; Marzano et al., 2005; Nettles & Petscher, 2007; Norton, 2003) and how their respective studies expose a division when it comes to identifying the skills and behaviors that must be valued in the work of principals.

In fact, this research referred to the criteria for Illinois High School Principal of the Year as well as the Illinois Performance Standards for School Leaders. While both of these frameworks allude to some components of the emotional intelligence framework, this researcher argues that these lack explicit mention of emotional intelligence. As such, this researcher concludes that principal evaluation measures should value findings from research such as this, and embrace emotional intelligence as a crucial skill that principals must develop.

In light of these findings, this researcher hopes that there will be serious consideration to the value of emotional intelligence as an integral component of leadership development. While the literature review of this research cited numerous studies regarding the importance of emotional intelligence in the development of leaders, principal evaluation measures as well as principal preparation programs have yet to consider the powerful implications that studies such as this have illuminated. At the core of education is the development of our children. This work requires passion, commitment and perseverance – hard work that can only be done by educators who will work tirelessly to achieve the common goal of helping all our students. Yet this work will need the type of leadership that understands that at the end of the day, it is all about human capital and that good work is a result of harnessing the emotions and the intelligence of all those who want the best for our students.
APPENDIX A

FREEDOM OF INFORMATION ACT REQUEST
Dear FOIA Public Liaison:

This is a request under the Freedom of Information Act.

I request that a copy of the following documents (or documents containing the following information) be provided to me:

- A listing of names and contact information for individuals holding the title of Principal of Schools within Illinois public school districts
- Contact information should include first and last name, public school district, county, mailing address, phone number and email address.

In order to help to determine my status to assess fees, you should know that I am (select one):

- [x] Affiliated with an educational or noncommercial scientific institution, and this request is made for a scholarly purpose through Loyola University of Chicago.

Please notify me if the fees will exceed $25.00.

Additional comments:

This information request may also be emailed to: rmak@luc.edu

Thank you for your consideration of this request.

Sincerely,

Ms. Rowena Mak
APPENDIX B

PERMISSION TO USE THE *EMOTIONAL INTELLIGENCE APPRAISAL®*
TALENTSMART®

PERMISSION TO USE AN EXISTING TALENTSMART SURVEY

Date: 10/14/2013

Rowena Mak
Director, Division of World Languages and ELL
Adlai E. Stevenson High School
1 Stevenson Drive
Lincolnshire, IL 60069
847.415.4701
rmak@d125.org

Thank you for your request for permission to use the Emotional Intelligence Appraisal - Me Edition survey in your research study. We are willing to allow you to use the instrument, online, as indicated in our conversation with a 50% reduction in normal charge with the following understanding:

- You will use these surveys only for your research study and will not sell or use them with any compensated management/curriculum development activities.
- You will send your research study and one copy of reports, articles, and the like that make use of this survey data promptly to our attention.
- You will include no more than three sample items in the written copy.

If these are acceptable terms and conditions, please indicate so by signing one copy of this letter and returning it to us.

Best wishes with your study.

Sincerely,

______________________________
Melissa Oates
Assessment Manager
TalentSmart

I understand these conditions and agree to abide by these terms and conditions.

Signed: _____________________________
Date: 10/15/13

Expected date of completion: 12/30/13
APPENDIX C

E-MAIL MESSAGE FOR PARTICIPATION IN RESEARCH
Subject Line: Emotional Intelligence of Successful High School Principals

Dear [FirstName] [LastName],

Congratulations on your success as a high school principal! As a recipient of the Illinois Principal of the Year Award, you have been personally selected to participate in a research study being conducted by Rowena Mak, a Doctoral student at Loyola University of Chicago under the supervision of Dr. Marla Israel, a faculty member in the School of Education.

This study aims to examine the relationship between the emotional intelligence of successful high school principals, such as yourself, as demonstrated by the Illinois Principal of the Year Award.

If you decide to participate, you are asked to complete the online version of the Emotional Intelligence Appraisal (EIA). The appraisal will take approximately 7-10 minutes to complete and can be accessed online through a unique password that you will receive once you agree to participate in the study. Upon completing the appraisal, you will receive your score, which will include an overall emotional intelligence score as well as a score for each of the competencies that comprise the emotional intelligence framework. Rest assured that all of your answers will be used only for scholarly purposes and will be kept completely confidential.

You will also be asked to participate in an interview with the researcher. The interview should take approximately 60 minutes and will incorporate the results from your EIA as well as your reflection regarding its relationship to your practices and professional growth as a leader.

Please click on the link below to indicate your willingness to participate in this study. You will then be directed to an online form where your online signature will be collected, serving as an initial acknowledgement of your willingness to participate in this study. This link will also require you to indicate an email address of your preference to where you would like the EIA to be sent.

If you have any questions, please feel free to contact me, Rowena Mak, at rmak@luc.edu or my faculty advisor, Dr. Marla Israel, at misrael@luc.edu. If you have other questions or concerns regarding the study and would like to talk to someone other than the researcher(s), you may also contact the Loyola University Office of Research Services at (773) 508-2689.

Yes, I would like to participate in this study [Link]

No, I prefer not to participate in this study [Link]

Thank you in advance for your generous participation!
APPENDIX D

CONSENT LETTER FOR PARTICIPATION IN RESEARCH
Researcher: Rowena Mak

Faculty Sponsor: Dr. Marla Israel

Introduction:

You are invited to participate in a research study being conducted by Rowena Mak, a Doctoral student at Loyola University of Chicago under the supervision of Dr. Marla Israel, a faculty member in the School of Education.

You were selected as a possible participant in this research because you have been awarded the Illinois Principal of the Year by the Illinois Principals Association.

Please read this form and ask questions before you agree to be in the study.

Background Information:

This study is conducted in two phases. The purpose of this portion of the study is to identify the relationship between a principal’s emotional intelligence and his/her success as a leader through the Emotional Intelligence Appraisal (EIA).

Procedures:

If you decide to participate, you are asked to complete the online version of the EIA. The appraisal will take approximately 7-10 minutes to complete and can be accessed online through a unique password that you will receive once you agree to participate in the study.

Upon completing the appraisal, you will receive your score, which will include an overall emotional intelligence score as well as a score for each of the competencies that comprise the emotional intelligence framework.

You will also be asked to participate in an interview with the researcher. The interview should take approximately 60 minutes and will incorporate the results from your EIA and your reflection regarding its relationship to your practices and professional growth as a leader.

Risks and Benefits of being in the study:

This portion of the study has minimal risks to you as the participant. Your EIA results will be kept confidential and anonymous to the researcher. Although the researcher will have access to the results, no linkage will be made between participants and their individual scores. Your identity, as a research participant, will not be used.

You may directly benefit from this study by completing the Emotional Intelligence Appraisal. The EIA is a psychometric assessment that identifies a person’s emotional intelligence within the various competencies that comprise the emotional intelligence framework.
Indirectly, your participation also adds to the body of research in education, leadership and the principalship. It is hoped the information cited in this study will benefit current and future leaders and researchers.

**Compensation:**

You will not receive direct compensation for your participation. However, if you participate you will receive the Emotional Intelligence Appraisal at no cost to you, and an individual score of your emotional intelligence at no cost.

**Confidentiality:**

Any information obtained in connection with this research study that can be identified with you will be disclosed only with your permission; your results will be kept confidential. In any written reports or publications, no one will be identified or identifiable and only group data will be presented.

Research results will be kept in a locked file cabinet in the research’s home and only the researcher and my advisor will have access to the records while working on this project. Upon completion of the dissertation the researcher will destroy all original reports and identifying information that can be linked back to you.

**Voluntary nature of the study:**

Participation in this research study is voluntary. Your decision whether or not to participate will not affect your future relations with Loyola University of Chicago. If you decide to participate, you are free to stop at any time without affecting these relationships or penalty.

**Contacts and questions:**

If you have any questions, please feel free to contact me, Rowena Mak, at rmak@luc.edu or my faculty advisor, Dr. Marla Israel, at misrael@luc.edu. If you have other questions or concerns regarding the study and would like to talk to someone other than the researcher(s), you may also contact the Loyola University Office of Research Services at (773) 508-2689.

You may keep a copy of this form for your records.

**Statement of Consent:**

You are making a decision whether or not to participate. Your signature indicates that you have read this information and your questions have been answered. Even after signing this form, please know that you may withdraw from the study at any time. You may keep a copy of this form for your records.
I consent to participate in the study.

__________________________________________
Signature of Participant

Date

__________________________________________
Signature of Researcher

Date
APPENDIX E

COVER LETTER AND DEMOGRAPHIC INFORMATION
Dear Participant-

Thank you for your willingness to participate in this research study. Enclosed is your password to access the online version of the Emotional Intelligence Appraisal®. The appraisal should take no more than 7-10 minutes to complete. You will be asked to respond to 28 statements using a frequency response scale. Each of these statements corresponds to at least one of the four competencies of the emotional intelligence framework.

Consider each question as it pertains to how well you know yourself, and keep in mind you are responding to these prompts as an individual person and not as how you think others would want you to be or how you think your role, as a principal, should respond. Do not dwell on a prompt or over think a response as there is nor right or wrong answer.

Please complete the demographic information below and return both this form and the EIA in the enclosed self-addressed stamped envelope.

**Demographic information:**

Name: __________________________________________

Age: ______________ Gender: ______________

Number of years as a principal? ______________

Number of years as a principal in this district? ______________

Number of principalship you have held? ______________

Highest Educational Degree Earned? Master Doctorate

If you hold multiple degrees or other type of degree-list below:

Current Position: __________________________________________

Signature of Participant: __________________________________________

By signing this sheet you understand that the demographic information provided will be in this research study. You name will not be used in this study, nor will identifying characteristics be used. You anonymity will be protected.
APPENDIX F

SAMPLE QUESTIONS FROM EMOTIONAL INTELLIGENCE SURVEY
EMOTIONAL INTELLIGENCE APPRAISAL® SAMPLE QUESTIONS:

For each question, check one box according to how often you:

<table>
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<tr>
<th></th>
<th>Never</th>
<th>Rarely</th>
<th>Sometimes</th>
<th>Usually</th>
<th>Almost Always</th>
<th>Always</th>
</tr>
</thead>
<tbody>
<tr>
<td>(5) realize when others influence your emotional state</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(10) tolerate frustration without getting upset</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(24) show others you care what they are going through</td>
<td></td>
<td></td>
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</tbody>
</table>
APPENDIX G

EMOTIONAL INTELLIGENCE SURVEY SAMPLE REPORT
NOW FOR THE NUMBERS...

Your Overall Emotional Intelligence Score: 76

Personal Competence: 75
The collective power of your self-awareness and self-management skills. It's how you use emotional intelligence in situations that are more about you privately.

<table>
<thead>
<tr>
<th></th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self-Awareness</td>
<td>78</td>
</tr>
<tr>
<td>Your ability to accurately perceive your emotions and stay aware of them as they happen. This includes keeping on top of how you tend to respond to specific situations and certain people.</td>
<td></td>
</tr>
<tr>
<td>Self-Management</td>
<td>71</td>
</tr>
<tr>
<td>Your ability to use awareness of your emotions to stay flexible and positively direct your behavior. This means managing your emotional reactions to all situations and people.</td>
<td></td>
</tr>
</tbody>
</table>

Social Competence: 78
The combination of your social awareness and relationship management skills. It's more about how you are with other people.

<table>
<thead>
<tr>
<th></th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Awareness</td>
<td>77</td>
</tr>
<tr>
<td>Your ability to accurately pick up on emotions in other people and get what is really going on. This often means understanding what other people are thinking and feeling, even if you don't feel the same way.</td>
<td></td>
</tr>
<tr>
<td>Relationship Management</td>
<td>79</td>
</tr>
<tr>
<td>Your ability to use awareness of your emotions and the emotions of others to manage interactions successfully. Letting emotional awareness guide clear communication and effective handling of conflict.</td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX H

FIRST REMINDER
Dear Principal:

Recently, an invitation to participate in a research study being conducted by Rowena Mak, a Doctoral student at Loyola University of Chicago under the supervision of Dr. Marla Israel, a faculty member in the School of Education was sent to you. You were selected as a possible participant in this research because you currently hold or have held the position of Illinois High School Principal and you have also been recognized by the Illinois Principals Association.

As a courtesy to you, I have enclosed a copy of the original invitation that outlines the study and how you can participate in this important research. While I understand the demands of your position, I hope you will find the time to participate in this study. Please know that I have designed this study to minimize the impact on your valuable time. Your participation will provide invaluable information and expand the research literature on leadership, education and the principalship.

If you have any questions, please feel free to contact me, Rowena Mak, at rmak@luc.edu or my faculty advisor, Dr. Marla Israel, at misrael@luc.edu. If you have other questions or concerns regarding the study and would like to talk to someone other than the researcher(s), you may also contact the Loyola University Office of Research Services at (773) 508-2689.

Thank you for your time and consideration.

Sincerely,

Rowena Mak

Enclosures:

- CONSENT LETTER FOR PARTICIPATION IN RESEARCH
- EMOTIONAL INTELLIGENCE COVER LETTER
- SELF-ADDRESSED STAMPED ENVELOPE
APPENDIX I

SECOND REMINDER
Date

Dear Principal:

About two weeks ago, I sent you an invitation to participate in a research study surrounding leadership characteristics of principals. If you have already perused the invitation and returned it, please accept my thanks.

If you have not gotten to it yet, please take some time to consider participating in this valuable research study. You participation is important because your views will be added to those of other principals/assistant principals like yourself to better understand leadership traits of principals and/or assistant principals. If for some reason you did not receive an invitation to participate, please contact me and I will send one out right away.

If you have any questions, please feel free to contact me, Rowena Mak, at rmak@luc.edu or my faculty advisor, Dr. Marla Israel, at misrael@luc.edu. If you have other questions or concerns regarding the study and would like to talk to someone other than the researcher(s), you may also contact the Loyola University Office of Research Services at (773) 508-2689.

Sincerely,

Rowena Mak

Enclosures:

- CONSENT LETTER FOR PARTICIPATION IN RESEARCH
- EMOTIONAL INTELLIGENCE COVER LETTER
- SELF-ADDRESSED STAMPED ENVELOPE
Date

Dear Principal:

This is your last chance to join your colleagues in research study surrounding the leadership traits of principals and/or assistant principals. An invitation to join was sent last month outlining the study and how can participate. I hope you will decide to participate. Your participation in this phase of the study should take no more than 7-10 minutes of your time and involves simply reading the consent letter, signing the consent letter, and completing the Emotional Intelligence Appraisal.

As a courtesy to you, I have enclosed a copy of the original invitation that outlines the study and how you can participate in this important research. While I understand the demands of your position, I hope you will find the time to participate in this study. Please know that I have designed this study to minimize the impact on your valuable time. Your participation will provide invaluable information and expand the research literature on leadership, education and the principalship.

This is a research study being conducted by Rowena Mak, a Doctoral student at Loyola University of Chicago under the supervision of Dr. Marla Israel, a faculty member in the School of Education. You were selected as a possible participant in this research because you currently hold or have held the position of Illinois High School Principal, and you have also been recognized by the Illinois Principals Association. If you have any questions, please feel free to contact me, Rowena Mak, at rmak@luc.edu or my faculty advisor, Dr. Marla Israel, at misrael@luc.edu. If you have other questions or concerns regarding the study and would like to talk to someone other than the researcher(s), you may also contact the Loyola University Office of Research Services at (773) 508-2689.

Thank you for your time and consideration.

Sincerely,

Rowena Mak

Enclosures:

- CONSENT LETTER FOR PARTICIPATION IN RESEARCH
- EMOTIONAL INTELLIGENCE COVER LETTER
- SELF-ADDRESSED STAMPED ENVELOPE
APPENDIX K

E-MAIL MESSAGE TO SCHEDULE INTERVIEW WITH PARTICIPANTS
Dear [FirstName] [LastName],

Thank you for your willingness to continue your participation in the research study being conducted by Rowena Mak, a Doctoral student at Loyola University of Chicago under the supervision of Dr. Marla Israel, a faculty member in the School of Education.

As was explained to you at the time of your consent to participate, the study is being conducted in two phases. The purpose of this second phase of the study is to explore the relationship between emotional intelligence and leadership characteristics of successful principals.

At this time, I would like to inquire on your availability to meet for the interview portion of the research study. The interview should last no more than 60 minutes and will take place in a location that is most convenient for you. Kindly respond to this email with 2-3 possible dates and times for when you would like to schedule the interview.

Thank you again for your time!

Sincerely,
Rowena Mak
rmak@luc.edu
APPENDIX L
CONSENT LETTER FOR INTERVIEW
Project Title: EQ, not just IQ: The Relationship Between Emotional Intelligence and the Success of High School Principals.

Researcher: Rowena Mak

Faculty Sponsor: Dr. Marla Israel

Introduction:

You are invited to continue your participation in the research study being conducted by Rowena Mak, a Doctoral student at Loyola University of Chicago under the supervision of Dr. Marla Israel, a faculty member in the School of Education.

You were selected as a possible participant in this next phase of research because you currently hold or have held the position of Illinois High School Principal and you have agreed to participate in an interview to discuss your EIA score and your perceptions on school leadership.

Please read this form and ask questions before you agree to be in the study.

Background Information:

This study is conducted in two phases. The purpose of this second phase of the study is to explore the relationship between emotional intelligence and leadership characteristics of successful principals.

Procedures:

If you decide to participate you will participate in an hour-long interview about your experiences and views as a principal. Prior to the interview, you were given the interview questions. The researcher will contact you to arrange a mutually convenient time and location to conduct the interview. Prior to commencing the interview, you will be read a “Consent to Participate in Research” letter and asked to sign. The interview will be audio recorded and transcribed. The audio recording will be sent to a professional transcribing service for transcription. The transcription service provider will sign a confidentiality agreement. A copy of the interview transcription will sent to you and you will be given the opportunity to suggest revisions, if necessary. Once you have reviewed the transcription, all identifiers will be removed before using the transcription in the research study.

Risks and Benefits of being in the study:

This portion of the study has some risk to you as the participant. The intent of the interview is to have an open dialogue about the principalship, leadership qualities you have and decision making-processes you use in your role. The interview will also attempt to draw some connections between your emotional intelligence score and the extent to which it might influence your role as an instructional leader.
Your identity, as a research participant, will not be used. The researcher cannot fully know what information shared during the interview is known publicly or privately and will therefore minimize the risk to the participant by allowing him or her the opportunity to review the interview transcript and suggest revisions.

There are no anticipated direct benefits to the participant for participation in the interview. Indirectly, your participation adds to the body of research in education, leadership and the principalship. It is hoped the information cited in this study will benefit current and future leaders and researchers.

**Compensation:**

You will not receive direct compensation for your participation.

**Confidentiality:**

Any information obtained in connection with this research study that can be identified with you will be disclosed only with your permission; your results will be kept confidential. In any written reports or publications, no one will be identified or identifiable. Each respondent will be assigned a unique identification number. All data will be analyzed/oded using the identification number. Individual names or the names of school districts will not be mentioned in the final writing.

Audio files of the interview will be kept in a locked file cabinet in the researcher’s home and only the researcher and her advisor will have access to the recordings while working on this project.

Upon completion of the dissertation, the researcher will destroy all audio files and identifying information that can be linked back to you.

**Voluntary nature of the study:**

Participation in this research study is voluntary. Your decision whether or not to participate will not affect your future relations with Loyola University of Chicago. If you decide to participate, you are free to stop at any time without affecting these relationships or penalty.

**Contacts and questions:**

If you have any questions, please feel free to contact me, Rowena Mak, at rmak@luc.edu or my faculty advisor, Dr. Marla Israel, at misrael@luc.edu. If you have other questions or concerns regarding the study and would like to talk to someone other than the researcher(s), you may also contact the Loyola University Office of Research Services at (773) 508-2689.

You may keep a copy of this form for your records.
Statement of Consent:

You are making a decision whether or not to participate. Your signature indicates that you have read this information and your questions have been answered. Even after signing this form, please know that you may withdraw from the study at any time. You will be given a signed copy of this form for your records.

I consent to participate in the study.

________________________________________________  ________________________
Signature of Participant                             Date

________________________________________________  ________________________
Signature of Researcher                              Date
APPENDIX M

INTERVIEW PROTOCOL
Demographic Questions:

1. How long have you been/were a principal?
2. How long have you been/were the principal in this district?
3. Describe your route to the principalship.

Leadership Questions:

1. How would you describe your style of leadership?
2. Describe a time when you learned that something you said or did as a principal had a negative impact on a faculty member. How did you learn about it and what did you do when you learned this information?
3. Describe how you would handle a conversation with a teacher with whom you need to discuss his/her poor performance.
4. What evidence might show that you have created a positive climate or culture in the school?
5. Describe a time when you were able to get members of the faculty to follow you around an unpopular issue.
6. How would you define emotional intelligence?
7. What are your impressions of your Emotional Intelligence Appraisal® results?
8. What do you think is your strongest leadership trait that led to your recognition as high school principal of the year?
9. How has research on emotional intelligence influenced leadership/principal development?
10. What type of training or professional development has influenced your emotional intelligence?
11. Do you believe your strengths as demonstrated in the Emotional Intelligence Appraisal® are innate or have they developed over time?
12. If you had to take the *Emotional Intelligence Appraisal* \(^\circledR\) when you first started in your role as a principal, do you think your score would have been the same? Why or why not?

13. In what ways has your emotional intelligence influenced your role as a principal?

14. Self-awareness, self-management, social awareness and relationship management are the domains that comprise emotional intelligence. Which one, in your opinion, has had the most effect in your success as a leader?

15. In your opinion, how might emotional intelligence contribute to the preparation of future high school principals?
APPENDIX N

CONFIDENTIALITY AGREEMENT
I, ________________________, transcriptionist, agree to maintain full confidentiality in regards to any and all audiotapes and documentation received from Rowena Mak related to her doctoral study titled “EQ, not just IQ: The Relationship Between Emotional Intelligence and the Success of High School Principals.”

Furthermore, I agree:

1. To hold in strictest confidence the identification of any individual that may be inadvertently revealed during the transcription of recorded interviews, or in any associated.

2. To not make copies of any audio files or computerized files of the transcribed interview texts, unless specifically requested to do so by Rowena Mak.

3. To store all study-related audio files and materials in a safe, secure locations as long as they are in my possession.

4. To turn all audio files and study-related documents to Rowena Mak in a complete and timely manner.

5. To delete all electronic files containing study-related documents from my computer hard drive and any backup devices.

I am aware that I can be held legally liable for any breach of this confidentiality agreement, and for any harm incurred by individuals if I disclose identifiable information contained in the audiotapes and/or files to which I will have access.

Transcriber’s name (printed): ____________________________________

Transcriber’s signature: ________________________________ Date: ________________

Researcher’s signature: _______________________________ Date: _________________
REFERENCE LIST


Budde, A. (2010). Factors Influencing Female Principals’ Pursuit of the Superintendency in the State of Iowa. *ProQuest LLC.*


DeRoberto, T. (2011, January 1). *The relationship between principal emotional intelligence and the school as a learning organization*. ProQuest LLC.


VITA

Rowena Mak proudly hails from one of the seven thousand and seven hundred islands of the Philippines. Daughter of Luzviminda and Rolando Namoca, Rowena’s first exposure to the American culture started in Skokie, Illinois as a curious student at Niles West High School.

It was here that Rowena developed a love and passion for the Spanish language, which she developed into a profession after earning her Bachelor of Arts degree with a double major in Spanish and Secondary Education from Northeastern Illinois University in 1999. After three formative years as a Spanish teacher at Taft High School in Chicago, Rowena pursued an opportunity as a paraprofessional and later became a Spanish teacher at Adlai E. Stevenson High School. During these years, she also continued in her advanced studies and completed her Masters in Education in Curriculum and Instruction from Loyola University in Chicago in 2004. She subsequently earned her Type 75 administrative certificate from Roosevelt University in 2009.

For the past six years, Rowena has been honored to serve in the role of Director of World Languages and ELL Division at Adlai E. Stevenson High School, where she is surrounded by some of the most talented and dedicated educators, whose passion for teaching and learning have helped Rowena grow in her journey as a leader. Rowena currently resides in Deerfield, Illinois with her husband David, and their daughters Isabelle (8) and Sofia (4). The completion of this dissertation is a joint celebration that marks Rowena’s 23rd year of being in the United States, from the land of the Philippines where Rowena hopes to return one day, and thank those people and places who have helped shape the woman and the leader she is today.
DISSEPTION COMMITTEE

The Dissertation submitted by Rowena Mak has been read and approved by the following committee:

Marla Israel, Ed.D., Director
Associate Professor, School of Education
Loyola University Chicago

Susan Sostak, Ed.D.
Clinical Assistant Professor, School of Education
Loyola University Chicago

Lori Hinton, Ph.D.
Assistant Superintendent for Student Learning,
Community Consolidated School District 64