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Are You a H.e.r.o.?: A Mixed Methods Study of the Relationship between Illinois Principals' Psychological Capital and School Culture

Karen Marie Ritter
Loyola University Chicago

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LOYOLA UNIVERSITY CHICAGO

ARE YOU A H.E.R.O.?: A MIXED METHODS STUDY OF THE
RELATIONSHIP BETWEEN ILLINOIS PRINCIPALS' PSYCHOLOGICAL
CAPITAL AND SCHOOL CULTURE

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

PROGRAM IN EDUCATIONAL ADMINISTRATION AND SUPERVISION

BY

KAREN MARIE RITTER

CHICAGO, ILLINOIS

MAY 2018

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When I began taking classes at Loyola University in Chicago, I could not imagine the day I would finish my dissertation. This amazing accomplishment could not have been done without the support and guidance from many important people in my life.

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DEDICATION

For Olivia and Gigi

The most beautiful chapters in the pages of my life

I hope that I inspire you the way you have inspired me

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ABSTRACT

Psychological Capital, developed by Fred Luthans as a byproduct of the positive psychology movement, involve the study of how applied positive states, attributes, and behaviors can improve performance in the workplace. An organization's leader needs a proactive, positive approach that emphasizes hope, self-efficacy, resilience, and optimism to improve an organization's effectiveness (Luthans, 2002a). This study explored how a school principal's Psychological Capital influenced the school's culture, and the psychological states that best supported the school to flourish. A school leader is key in building a positive school culture, where administrators, staff, and students share a sense of purpose and commitment to improving student achievement. Evidence exists that positive leadership practices foster positive behaviors in employees, which lead to organizational productivity in a corporate environment (Gardner & Schermerhorn, 2004; Luthans, 2002a; Wright, 2003). In addition, Psychological Capital aligns with the adaptive leadership framework, developed by Ron Heifetz and colleagues, which allows a leader and an organization to adapt and thrive in challenging environments (Heifetz, Grashow, & Linsky, 2009).

For this study, the researcher surveyed Illinois public school principals to determine if the four Psychological Capital states contributed to a positive school culture. This study allowed for a mixed method analysis of data. These data were collected through a Psychological Capital Questionnaire (Luthans, Avolio, & Avey, 2007) tool,

and then included a regression analysis of the four Psychological Capital states with two domains of the Illinois 5Essentials Survey. It was followed with an interview of three participants, allowing the researcher to probe more deeply into the school leaders' psychological states and leadership practices. Results of this study found that of the four PsyCap constructs, hope was the most influential on school culture. Other effective leadership qualities, such as adaptive leadership, were discovered after the qualitative interview data.

CHAPTER I

INTRODUCTION

School leaders strive to develop a strong school culture where faculty and staff work toward a desired end result, just as corporate leaders in the business world make great efforts to achieve a positive organizational behavior. School leaders, much like corporate leaders, may find it difficult to develop a culture of satisfied, resilient, motivated employees who, in turn, influence the organization to be better as a whole. Lencioni (2012) believes that the health of an organization is the “single greatest factor determining an organization’s success” (p. 3). A leader’s Psychological Capital, a core construct made of the state-like qualities of hope, self-efficacy, resilience, and optimism, has shown a strong correlation to an organization’s positive organizational behavior. Schools differ from businesses in that the goal is to develop human capital and student achievement, rather than a product or a service. However, schools are still vital organizations that rely on an effective leader to build and maintain a strong culture. Like many organizational behavior studies of corporations that focus on treating the negative to produce improved results, schools often focus on treating negative aspects, such as low teacher morale or high teacher absenteeism, and attempt to improve them with negative measures like employee discipline action. Work overload, poor discipline, and increased bureaucracy can lead to teacher stress and burnout, which can lead to disengaged, uncommitted, and unmotivated employees who lack job satisfaction (Crossman & Harris,

2006). When describing effective leaders, certain prized personality traits often come to mind, like extrovertedness or conscientiousness. These traits are personality dispositions that are relatively consistent, long-lasting, or internally-caused and are incorporated in the Big Five Personality Traits Model or Five Factor Model (Digman, 1990; Goldberg, 1993). Psychological Capital states, on the other hand, are considered temporary, brief, and caused by external circumstances. Because schools are organizations that ideally support employee productivity and positive outcomes, such as improved student achievement and well-being, it may be an effective strategy for building principals to lead a positive organizational culture through state-like concepts, such as hope, self-efficacy, resilience, and optimism, which make up the higher order core construct of Psychological Capital (Gardner & Schermerhorn, 2004; Luthans, 2002a). It may be possible for a school principal to use Psychological Capital to shape a positive organizational behavior within the school. Luthans (2002a) advocates that organizational leaders catch “employees doing something right to reinforce them, rather than catching them doing something wrong to punish them” (p. 703), similar to how building principals hope to catch teachers doing something good rather than catching them doing something wrong.

Background to the Study

Positive psychology, introduced by Martin Seligman (2000) who is known for spearheading the current positive psychology movement, is a branch of psychology that shifts the focus away from what is wrong with people to what is right with people (Luthans, 2002a; Nelson & Cooper, 2007). Positive psychology emphasizes one’s strengths in personal growth and what makes one happy, as opposed to studying what is

wrong with people and their associated weaknesses and dysfunctions (Luthans, 2002a; Luthans, Youssef, & Avolio, 2007; Nelson & Cooper, 2007). Positive psychology allows individuals and whole communities to thrive, based on the notion that people want to lead meaningful and fulfilled lives, foster the best qualities within themselves, and enhance their everyday experiences (Seligman & Csikszentmihalyi, 2000). Similar to psychology, the field of organizational behavior has often been characterized as focusing on the four D's (damage, disease, disorder, and dysfunction) to prevent low performance, low motivation, and disengagement rather than focusing on positivity (Bakker & Schaufeli, 2008; Luthans, 2002a; Nelson & Cooper, 2007). Organizations are social systems and organizational behavior is the study of how people act within an organization. Some topics in organizational behavior are related to stress in the organization, resistance to change, the dysfunctional workplace, and deficient employees (Luthans, 2002a; Nelson & Cooper, 2007). Fred Luthans (2002a) argues that it is possible and more effective to take a positive psychology approach to organizational behavior and calls it Positive Organizational Behavior, or POB.

Luthans (2002b) himself has defined Positive Organizational Behavior (POB) as “the study and application of positively oriented human resource strengths and psychological capacities that can be measured, developed, and effectively managed for performance improvement in today’s workplace” (p. 59). Wright (2003) adds that POB must also include the study of employee health and well-being. What differentiates Positive Organizational Behavior from other organizational behavior theories, according to Luthans (2002a), is that the criteria for POB is measurable and research-based, unlike

positive personal development concepts one might find in many leadership and organizational behavior best-sellers. Positive Organizational Behavior measures state-like concepts, which can be viewed as a person's current feelings or response to something. These states, collectively called Psychological Capital (PsyCap), lend themselves well to leadership, employee development, and performance management (Avey, Luthans, & Youssef, 2010; Luthans, 2002a; Luthans, Avolio, Avey, & Norman, 2007; Luthans et al., 2007). The PsyCap state-like concepts that are the measure for POB are hope, self-efficacy, resilience, and optimism (Avey et al., 2010; Luthans, 2002a; Nelson & Cooper, 2007). The implications of these states are important for organizations because a person's state can change based on learned experiences and situations and can promote growth and development. A leader or employee demonstrating these state-like concepts can foster positive organizational behavior and can promote an organization to flourish. In addition, if a leader has adopted an adaptive leadership style, he or she will adapt to the situation and be able to bring the faculty and staff to grow collectively for the good of the organization.

Positive Organizational Behavior has mostly been studied in the corporate environment. An example of this is Fredrickson and Losada's (2005) study on management teams that produced improved results in profitability, customer satisfaction, and evaluations. The organization flourished because of positive communication and expressions of support, encouragement, and appreciation, while teams that experienced negative verbal communications showed inferior performance. Furthermore, successful teams exhibited more extensive ideas and initiatives while unsuccessful teams

demonstrated a negative outlook and lack of imagination in their ideas (Frederickson & Losada, 2005). Another notable study in the field of POB looked at the impact of job demands on burnout (Bakker, Demerouti, & Euwema, 2005). The researchers discovered that “job demands such as work overload, emotional demands, physical demands, and work-home interference did *not* result in high levels of burnout if employees experienced job resources, such as autonomy, performance feedback, social support, or coaching from their supervisor” (Bakker & Schaufeli, 2008, p. 150). In the corporate world, a leader who demonstrates the H.E.R.O. states of hope, self-efficacy, resilience, and optimism may positively affect his or her employees, and in turn, develop a positive organizational behavior within the organization, producing employees who are high-performing, engaged, and hard-working members of the community (Luthans, 2002a; Nelson & Cooper, 2007).

A leader who possesses the state-like qualities of hope, self-efficacy, resilience, and optimism uses positive Psychological Capital (PsyCap) to impact the Positive Organizational Behavior (POB) of an organization (Avey et al., 2010). Figure 1 demonstrates the four PsyCap qualities that derive from the positive psychology movement. Snyder, Irving, and Anderson (1991) define *hope* as “a positive motivational state that is based on an interactively derived sense of successful (a) agency (goal-directed energy) and (b) pathways (planning to meet goals)” (p. 287). *Efficacy* is defined as “one’s conviction (or confidence) about his or her abilities to mobilize the motivation, cognitive resources, and courses of action needed to successfully execute a specific task within a given context” (Stajkovic & Luthans, 1998b, p. 66). *Resiliency* is “the capacity

to rebound or bounce back from adversity, conflict, failure, or even positive events, progress, and increased responsibility” (Luthans, 2002a, p. 702). Finally, Seligman, one of the founders of positive psychology, defines *optimism* as a style of interpreting “specific positive events through personal, permanent, and pervasive causes and negative events through external, temporary, and situation-specific ones” (Avey et al., 2010, p. 431). Positive Psychological Capital (PsyCap) supports the quest for positivity, flourishing, and satisfaction at work (Avey et al., 2010). PsyCap is a positive core construct, where efficacy, hope, optimism, and resiliency contribute (Avey et al., 2010). In other words, PsyCap is moving beyond what and whom one knows (human and social capital) to knowing one’s actual self and one’s intended self (Psychological Capital) (Luthans et al., 2007). According to Luthans et al. (2007), PsyCap is not only measurable, research-based, and open to development, but it is also impactful on work-related performance. It is possible for school principals, leaders of educational organizations, who possess the PsyCap states to make a dramatic contribution to a school’s positive organizational behavior.

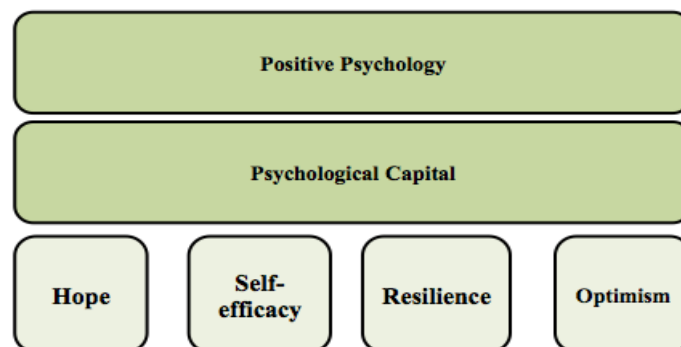


Figure 1. The four constructs of Psychological Capital derive from the positive psychology movement

Organizational culture is defined as “a pattern of basic assumptions that a given group has invented, discovered, or developed in learning to cope with its problems of external adaptation and internal integration and that have worked well enough to be considered valid, and therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems” (Schein, 1984, p. 3). Adaptive leaders are able to create shared objectives within an organization by developing the capacity to adapt as a way of life to changing circumstances (Heifetz, Grashow, & Linsky, 2009). Schools as organizations rely on strong leaders, the building principals, to shape a system with a living vision and strong culture for successful student achievement, much like a CEO is charged with leading a company with goals of increased productivity and profitability. Furthermore, building principals must develop a culture where “the way we do things around here” is rooted in the norms and values of the organization (Kotter, 2012). Heifetz et al. (2009) believe “adaptive leadership requires understanding the group’s culture and assessing which aspects of it facilitate change and which stand in the way” (p. 57). Kotter (2012) explains the importance of making a conscious effort to show people how specific behaviors and attitudes can help improve performance. A strong culture is one where a group in an organization has a long, diverse, and intense history together, and this culture contains elements that are learned solutions to problems (Schein, 1984). A strong culture incorporates norms, folklore, rituals, and protocols (Heifetz et al., 2009). The way in which people learn new solutions to problems not only shapes culture but also develops the organizational behavior. Adaptive leadership is a way to mobilize people to tackle tough challenges together and thrive (Heifetz et al., 2009). In addition, an

organization's effectiveness depends on how well it adapts to changes in the external environment (Yukl, 2008). Leaders who use positive practices in showing support and positive regard for their employees by building mutual trust, providing recognition for achievements and contributions, and encouraging cooperation and teamwork have been successful in reducing stress and facilitating performance among employees (Yukl, 2008). Furthermore, Bolman and Deal (2013) confirm that "employee-centered" supervisors, who focus on relationships and people, typically had better production results than "job-centered" supervisors, who did not focus on human satisfaction. In addition, "organizational fit" ties a supervisor's need to find and retain skillful employees with a worker's desire to find an organization that works for them (Bolman & Deal, 2013). When a leader has an adaptive leadership mindset, he or she makes sure teacher and staff know that the organization depends on their collective capacity to "make progress on a collective challenge" (Heifetz et al., 2009, p. 29).

Problem Statement

The famous quote from Vince Lombardi, "leaders are made, they are not born" supports the idea that leadership qualities can grow and develop over time based on circumstances and experiences, rather than deriving from an innate personality trait or disposition. If implementing positive practices to cultivate a positive organizational behavior has been proven to work in corporations, then applying the same principles may also allow schools as organizations to flourish. If being a hopeful, optimistic, confident resilient leader has worked for organizational leaders, it should work for school principals as well. "Acts of leadership not only require access to all parts of yourself so that you can

draw upon all of your own resources for will, skill, and wisdom; but to be successful, you also need to fully engage people with all these parts of yourself as well” (Heifetz et al., 2009, p. 38). It might greatly benefit building principals to learn from leaders in the business world who use state-like competencies such as hope, self-efficacy, resilience, and optimism to focus on people’s strengths that shape a positive organizational behavior and high performing system (Gardner & Schermerhorn, 2004; Nelson & Cooper, 2007). Building leaders would also help employees and the organization itself grow and develop by using an adaptive leadership style where they connect with the values and beliefs of the people that follow them (Heifetz et al., 2009).

Purpose of the Study

The purpose of this study was to explore how Illinois school principals use their Psychological Capital, a higher order core construct made of the state-like qualities of hope, self-efficacy, resilience, and optimism, to influence a strong staff culture. As a result of studying Psychological Capital, it became evident to the researcher that using an adaptive leadership framework allowed leaders to bring their Psychological Capital to the leadership position to create a successful school culture. The researcher wishes to contribute to the educational leadership field by providing relevant examples of how these learned states and adaptive leadership framework help building principals strengthen the organizational behavior of their schools.

Research Questions

The following research questions were applied to determine which positive PsyCap state-like qualities a school leader used to cultivate a positive organizational behavior:

1. What is the relationship between a public school leader's Psychological Capital, related to hope, self-efficacy, resilience, and optimism, and a school's culture as measured by the Illinois 5Essentials Survey?
2. Which Psychological Capital attributes have the greatest influence on a school's culture?
3. What is the performance of the principals who have demonstrated high PsyCap, as measured by the categories of Effective Leaders and Collaborative Teachers on the Illinois 5Essentials Survey?
4. What other qualities contribute to effective leadership?

Significance of the Study

This study promises to add to the literature on leadership states that enhance a principal's adaptive leadership and how they can positively influence an organization's culture through a human resources lens. While the impact of a leader's state-like qualities are studied widely in the corporate world, there is little research on how Psychological Capital can positively influence a school culture for the staff and students with positive end results. Because leaders are often sought out because of certain prized personality traits, this limits the type of leader to those who are extroverted, tough-minded, or socially bold. Leaders can be made from many different molds, based on their growth,

development, and experiences. This study extends the definition of an effective leader to one who possesses a strong Psychological Capital, who can influence the staff in an organization toward the state-like qualities of hope, self-efficacy, resilience, and optimism, and who can activate others toward a strong culture by connecting with them via an adaptive leadership style and strong relationships. Accumulating traditional resources, such as human and social capital and advanced technology, has proven insufficient for sustainable competitive advantage in corporations (Luthans, Youssef-Morgan, & Avolio, 2015). Many organizational leaders are beginning to take notice that positivity is a powerful factor in enhancing human and organizational performance (Luthans et al., 2015). Furthermore, focusing on human and/or social capital in employees provides no guarantees that these traditional forms of capital will yield desired returns, and what is valuable today may not be valuable tomorrow. Psychological Capital offers a boost to these other types of capital to help maximize all of the capital resources. Psychological Capital “is concerned with ‘who you are’ now and, in the developmental sense, ‘who you are capable of becoming’ in the future” (p. 6). A positive approach in educational leadership is necessary to counter the negative constructs in schools, such as stress, burnout, work-life conflict, and workplace incivility. This chapter established the need and purpose for the study, while the next chapter provides a review of selected literature representing the current research and knowledge regarding Psychological Capital and Positive Organizational Behavior.

Overview of the Methodology

The intent of this research was to gain a deeper understanding, through quantitative data collection and qualitative methods, of what PsyCap state-like leadership qualities, namely hope, self-efficacy, resilience, and optimism (Luthans, 2002a), successful Illinois school principals demonstrated to develop a positive working environment. This research design was an explanatory sequential design, which allowed for a mixed method analysis of quantitative and qualitative data study. This study called for mixed methods research because it collected and analyzed both quantitative and qualitative data to respond to the research questions (Creswell, 2015). In addition, the study used rigorous methods from the sampling approach, the instruments used to collect data, and the data analysis procedures (Creswell, 2015). Furthermore, according to Creswell, a good mixed methods study will integrate data. This research design is explanatory sequential, which means it used qualitative methods to explain the initial quantitative data. Finally, Creswell suggests that advanced designs incorporate various theoretical frameworks. This study researched effective educational leadership and organizational culture within the realm of the behavioral science of positive psychology.

The first phase of the design was quantitative in nature and involved administering a survey to Illinois school principals using the Psychological Capital Questionnaire (PCQ-24). This tool, comprised of 24 statements measured by a Likert scale, assessed the participant's self-perception of hope, self-efficacy, resilience, and optimism, the four PsyCap states. The PCQ-24 has been used in multiple previous studies and demonstrates reliability and validity across various corporations (Luthans, Avolio et

al., 2007). From there, the results from the Psychological Capital Questionnaire were compiled and a statistical analysis of the various PsyCap states of school leaders was performed. These results were then compared to the leader's 2017 Illinois 5Essentials Survey school data in the categories of Effective Leaders and Collaborative Teachers, whereby the relationship between a leader's PsyCap and the school culture results from the Illinois 5Essentials survey were studied. From these results, the researcher determined which results needed further exploration in the qualitative phase and what questions needed to be asked of participants in the second phase.

The second instrument was qualitative in nature. A small sample of Illinois public school principals was interviewed. The researcher gathered data in the form of semi-structured interviews where school leaders were given the opportunity to elaborate on their Psychological Capital states, and how they believed these states to affect their school's culture. The qualitative method helped explain the quantitative results in more depth, and the two phases were connected in the intermediate stage in this study. By studying the results from the Psychological Capital Questionnaire and the interview, the researcher hoped to discover common traits, with respect to high PsyCap states and high rankings on the 2017 Illinois 5Essentials Survey pertaining to leadership and school culture. In addition, the researcher analyzed the PsyCap data to determine which, if any, of the PsyCap states was more influential on the 5Essentials categories of Effective Leaders or Collaborative Teachers, be it hope, self-efficacy, resilience, or optimism. Furthermore, the researcher hoped to discover common leadership themes that emerged from the qualitative portion of the study. According to Creswell (2015), the two phases in

this mixed methods study build upon each other, and the two stages of research are distinct and easily recognized.

Conceptual Framework

This study explored a leader's Psychological Capital, a higher order core construct made of the four criteria-meeting psychological resources of hope, self-efficacy, resilience, and optimism, developed by Luthans, Youssef-Morgan, and Avolio (2015). Psychological capital is a byproduct of the positive psychology movement. Psychological Capital is positively related to creating a Positive Organizational Behavior in business (Avey, Luthans, Smith, & Palmer, 2010). For the purposes of this study, this research explored the relationship between a school principal's Psychological Capital and its influence as measured by two of the five key domains of Effective Leaders and Collaborative Teachers in the Illinois 5Essentials Survey, which measures a school's learning environment and culture. These two domains were specifically chosen, as they pertain to a leader's ability to affect a supportive school culture for teachers and staff, where they have a collective responsibility toward school improvement and professional growth. Figure 2 displays how Psychological Capital can influence a strong school culture, as measured by the 5Essentials Survey categories of Effective Leaders and Collaborative Teachers.

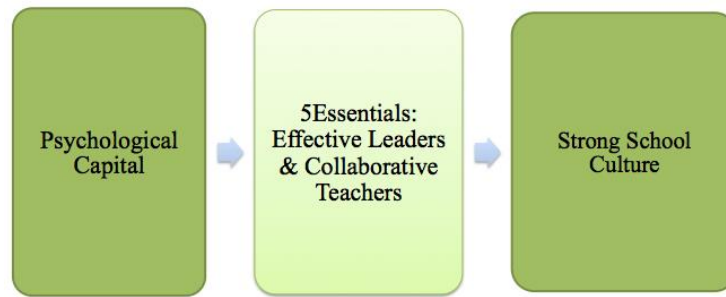


Figure 2. PsyCap affects school culture

Limitations of the Study

It is essential to recognize the limitations of both the research design and methodology of this study. According to Schwandt (2003), reflexivity is a process of critical self-reflection on one's own biases, and "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). The limitations and bias in this study are as follows:

1. Because this study only involved public school principals in one state, generalizability is limited and the results might be different if the sample size included leaders from various types of schools, such as private schools and schools from different states, and those in leadership roles other than the school principal.
2. Because the qualitative data came from a sample of volunteers who took the original Psychological Capital Questionnaire, an inclusive bias exists, thus associating the data results with a larger school leader population will not produce fully representative results.

3. The Psychological Capital Questionnaire is a self-reported survey, whose results display the principal's perception of self.
4. The researcher's own bias can affect the study, as the researcher has a bias toward positivity. The researcher kept a reflexive journal during the research process to reflect upon the process, decisions, and logistics of the study.
5. The researcher may have displayed interviewer bias, whereby the interviewer may have given subconscious clues as to desired responses based on facial cues, body language, and tone of voice.
6. The 5Essentials Survey is not required annually, therefore limited data was available for this study.

Summary

Effective school leaders promote positive school cultures through certain behaviors, actions, and characteristics and these leadership practices have an impact on creating a positive organizational behavior in a school. Leaders who display a high level of the core construct of Psychological Capital ideally demonstrate positive school cultures. Hope, self-efficacy, resilience, and optimism are given the acronym H.E.R.O. by Luthans and colleagues as a reminder of the four facets that make up PsyCap (Luthans et al., 2015). These data were collected through a Psychological Capital Questionnaire (Luthans et al., 2007) tool, and then followed with a semi-structured interview, allowing the researcher to probe more deeply into the school leaders' practices and how they positively affect school culture, as measured by the Illinois 5Essentials Survey. The interview data revealed other effective leadership qualities that complement a positive

Psychological Capital and its influence on school culture. The researcher hopes to contribute to the educational leadership field by providing relevant examples of how these learned states help building principals strengthen the organizational culture of their schools.

Definition of Key Terms

Adaptive Leadership: “the practice of mobilizing people to tackle tough challenges and thrive” (Heifetz et al., 2009). Adaptive leadership is a way of connecting with the values, beliefs, and anxieties of the people one is leading, being present, and forming lasting relationships to build a collective capacity and sustained culture (Heifetz et al., 2009).

Collaborative Teachers: One of the five domains in the Illinois 5Essentials Survey. Collaborative Teachers is defined as “the staff is committed to the school, receives strong professional development, and works together to improve the school” (The University of Chicago Consortium, 2015).

Effective Leaders: One of the five domains in the Illinois 5Essentials Survey. Effective Leaders is thought to drive the remaining four domains in the 5Essentials framework, and is defined as “the principal works with teachers to implement a clear and strategic vision for school success” (The University of Chicago Consortium, 2015).

Hope: “a positive motivational state that is based on an interactively derived sense of successful (a) agency (goal-directed energy) and (b) pathways (planning to meet goals)” (Snyder et al., 1991, p. 287).

Illinois 5Essentials Survey: a framework developed by the University of Chicago Consortium on Chicago School Research based on five key concepts in school improvement that have a positive relationship to student achievement outcomes.

Optimism: a style of interpreting “specific positive events through personal, permanent, and pervasive causes and negative events through external, temporary, and situation-specific ones” (Avey et al., 2010, p. 431).

PCQ-24: Psychological Capital Questionnaire, a tool comprised of 24 statements measured by a Likert scale, that assesses the participant’s self-perception of hope, self-efficacy, resilience, and optimism, the four PsyCap states (Luthans, Avolio, Avey, et al., 2007).

Positive Psychology: a movement in psychology to focus on what is right with people instead of what is wrong with people. “It is about identifying and nurturing their strongest qualities, what they own and are best at, and helping them find niches in which they can best live out these strengths” (Seligman & Csikszentmihalyi, 2000, p. 6)

Psychological Capital (PsyCap): “an individual’s positive psychological state of development that is characterized by (1) having confidence (efficacy) to take on and put in the necessary effort to succeed at challenging tasks; (2) making a positive attribution (optimism) about succeeding now and in the future; (3) persevering toward goals and, when necessary, redirecting paths to goals (hope) in order to succeed; and (4) when beset by problems and adversity, sustaining and bouncing back and even beyond (resiliency) to attain success” (Luthans et al., 2015).

Positive Organizational Behavior (POB): “the study and application of positively oriented human resource strengths and psychological capacities that can be measured, developed, and effectively managed for performance improvement in today’s workplace” (Luthans, 2002b, p. 59).

Resilience: “the capacity to rebound or bounce back from adversity, conflict, failure, or even positive events, progress, and increased responsibility” (Luthans, 2002a, p. 702).

Self-efficacy: “one’s conviction (or confidence) about his or her abilities to mobilize the motivation, cognitive resources, and courses of action needed to successfully execute a specific task within a given context” (Stajkovic & Luthans, 1998b, p. 66).

Organization of the Dissertation

The dissertation is organized into five chapters. Chapter I contains the introduction, the background to the study, the problem statement, the purpose of the study, research questions, the significance of the study, an overview of the methodology, the conceptual framework, limitations of the study, a summary, and key terms and definitions. Chapter II is the review of the literature. This section of the paper broadly reviews the theoretical framework that includes relevant research on positive psychology, Positive Organizational Behavior, the higher order core construct of Psychological Capital and its four constructs of hope, self-efficacy, resilience, and optimism, as well as the Illinois 5Essentials Survey and how these research areas relate to leadership effectiveness theories. Chapter III outlines the chosen mixed methods research methodology and

includes research design, procedures, population, sampling, instrumentation, and proposed data analysis sections. Next, Chapter IV provides the data and findings of the study and includes a review of the purpose of the study, research questions, a sample description and findings for each research question. Finally, Chapter V is a discussion of the data, limitations of the study, implications for practice, and future directions in research, as well as a conclusion to the dissertation.

CHAPTER II

REVIEW OF THE LITERATURE

The purpose of this chapter is to summarize the literature on constructs and frameworks addressed in this study. This chapter will provide background context to the following research questions:

1. What is the relationship between a public school leader's Psychological Capital, related to hope, self-efficacy, resilience, and optimism, and a school's culture as measured by the Illinois 5Essentials Survey?
2. Which Psychological Capital attributes have the greatest influence on a school's culture?
3. What is the performance of the principals who have demonstrated high PsyCap, as measured by the categories of Effective Leaders and Collaborative Teachers on the Illinois 5Essentials Survey?
4. What other qualities contribute to effective leadership?

Introduction: Areas of Related Literature

There are four major areas of knowledge for the research questions of this study. The first area in the literature is on historical context of the positive psychology movement that led to the higher order core construct of Psychological Capital. Second, Positive Organizational Behavior is presented as a phenomenon where workers' demonstration of individual and collective efficacy leads to a strong working

environment and organizational culture. Third, Psychological Capital is defined with its related research as it connects to leadership effectiveness and its influence on positive organizational behavior. Lastly, research is presented on the Illinois 5Essentials Survey conducted through the University of Chicago Consortium on Chicago School Research along with the results after the first year of statewide implementation in Illinois. These topics are described below in greater detail.

The Positive Psychology Movement

The positive psychology movement began in 1998 through the collaboration of psychologists Martin Seligman and Mihaly Csikszentmihalyi who, among other psychologists, were searching for preventative treatments in psychology. Whereas clinical psychology traditionally focused on treating mental illness after a diagnosis, positive psychology's aim was to study what made people happy and caused them to thrive (Luthans, Luthans, & Luthans, 2015; Luthans, Youssef, & Avolio, 2007; Nelson & Cooper, 2007). In other words, it was a shift from studying what is wrong with people to what is right with people, and was more about identifying and nurturing a person's strongest qualities in an effort to help them find ways to best live out their strengths (Seligman & Csikszentmihalyi, 2000, p. 6). "Psychologists paid relatively very little attention to psychologically healthy individuals in terms of growth, development, self-actualization, and well-being," (Luthans et al., 2015, p. 11). According to Luthans et al., Seligman, as President of the American Psychological Association at the time, called to redirect psychological research toward the forgotten mission of helping psychologically healthy people become happier by reaching their human potential. Positive psychology

began gaining momentum as researchers insisted on sound theory and research (Luthans, 2002a) and based their conclusions on “rigorous scientific methods rather than philosophy, rhetoric, anecdotes, conventional wisdom, gurus, or personal experience and opinion” (Luthans et al., 2015, p. 11). In essence, the goal of positive psychology is to use scientific methodology to discover and nurture the elements that allow individuals, groups, organizations, and communities to flourish.

There are three levels of positive psychology, according to Seligman and Csikszentmihalyi (2000), which are the subjective level, the individual level, and the group level. The subjective level includes valued subjective experiences that make one feel good, such as well-being, satisfaction, and contentment in the past, hope and optimism for the future, and flow and happiness in the present. The aim at the individual level is to define components of a “good life” and the qualities of being a “good person” by studying human strengths and virtues, such as the capacity for love and vocation, courage, perseverance, forgiveness, originality, wisdom, interpersonal skills, and giftedness. Finally, at the group or community level, factors involve civic virtues that move individuals toward better citizenship, responsibility, altruism, tolerance, work ethic, and community engagement (Luthans et al., 2015; Seligman & Csikszentmihalyi, 2000). The positive psychology movement has helped people identify and nurture their strongest qualities to discover the best way to live their lives. By being aware of the importance of all three levels of positive psychology, namely the subjective, individual, and group levels, school leaders can use this approach to cultivate a positive organizational culture.

Positive Organizational Behavior

The culture of an organization is a complex phenomenon that is difficult to define, describe, and visualize. When people join an organization, they bring their own values and beliefs from their schema. Culture within an organization is created by the interactions people have with others, and it is shaped by their behaviors and the organization's practices. Edgar Schein (2010) notes that cultural behaviors can be observed, but the cultural forces that shape the behaviors cannot be seen. Observable behaviors can include the language people use, the traditions that evolve, and the rituals that are employed. Other models that demonstrate an organization's culture include group norms, climate, values, habits of thinking, and symbols and metaphors. Schein defines culture as "a pattern of shared basic assumptions learned by a group as it solved its problems of external adaptation and internal integration, which has worked well enough to be considered valid, and therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems" (p. 18). Heifetz et al. (2009) note that an organization's culture is made up of its folklore, its rituals, its group norms, and its meeting protocols. All of these cultural elements influence the organization's adaptability. Organizational cultural understanding is important for all, but essential for leaders of an organization.

Organizational behavior is the study of the way people work together in an organization. It is research-based and is considered an academic discipline (Luthans et al., 2015). Organizational behavior has foundations in cognitive, behavioral, and social cognitive frameworks. "The cognitive approach emphasizes the positive and freewill

aspects of human behavior and uses concepts such as expectancy, demand, and intention” (p. 16). The behavioristic framework, with its roots marked by the works of Ivan Pavlov and John B. Watson and more recently by B. F. Skinner, focuses on observing human behavior through stimulus and response, instead of studying the mind (Luthans et al., 2015). Skinner believed that environment played a role in the behavior, meaning a person could project a different response to a stimulus, depending on the environmental consequences. Finally, the social cognitive framework, led by Albert Bandura, is a more comprehensive theory, recognizing “the importance of behaviorism’s contingent environmental consequences, but also includes cognitive processes of self-regulation” (p. 19). Social cognitive theory explains organizational behavior as a reciprocal causation among participants in the organization, the organizational environment, and the organizational behavior itself. The social cognitive framework serves as a conceptual model and foundation for Positive Organizational Behavior (Luthans et al., 2015).

With positive psychology as a foundation, other theories emerged using a positive approach to study flourishing in an organization. This field of positive organizational psychology (POP) uses scientific research and scholarship as a basis to study positive subjective experiences in the workplace or in organizations. Two broad areas of positive organizational psychology emerged from this research, namely Positive Organizational Scholarship (POS) and Positive Organizational Behavior (POB) (Luthans et al., 2015). Positive Organizational Scholarship focuses on “exceptional individual and organizational performance such as developing human strength, producing resilience and restoration, and fostering vitality” (Cameron & Caza, 2004, p. 731). It is the study of

what is positive and flourishing within an organization. For example, problems and obstacles are interpreted as opportunities to learn and develop, while maintaining a positive bias on outcomes, growth, and development (Luthans et al., 2015). According to the POS theorists, “positivity is concerned with understanding the best of the human condition, such as flourishing, thriving, optimal functioning, excellence, virtuousness, forgiveness, compassion, goodness, and other life-giving dynamics for their own sake, rather than just as means toward the ends” (Luthans et al., 2015).

Positive Organizational Behavior is defined as the “study and application of positively oriented human resource strengths and psychological capacities that can be measured, developed, and effectively managed for performance improvement in today’s workplace” (Luthans, 2002b, p. 59). The major difference between POS and POB is that POS focuses more on the positive phenomena that occur in organizations, while POB tends to be more specific to the measurement and outcomes at the individual level within an organization (Luthans et al., 2015). The researcher chose to study POB rather than POS for this reason. A school principal has an influence on the behavior of the school as an organization, by maximizing his or her PsyCap states of hope, self-efficacy, resilience, and optimism. The need to study organizational behavior and an organization’s effectiveness, whether at the individual level or at the organizational level, is becoming more and more necessary in an ever-changing and competitive world. A core construct that has developed from the research of Positive Organizational Behavior is Psychological Capital.

Besides being positive and a psychological resource capacity, both Positive Organizational Behavior and Psychological Capital are considered core constructs because they follow certain operational criteria. (Luthans et al., 2015). Positive Organizational Behavior and Psychological Capital are based on theory and research. POB is constantly building theoretical grounding and continuing applied research findings (Luthans et al., 2015). In addition, POB and PsyCap both use valid and reliable measures. Furthermore, both are “state-like” and open to development. State-like is considered situationally based, open to learning, change, and development, as opposed to trait-like characteristics of being dispositional and relatively fixed across situations and time (Luthans et al., 2015). While traits traditionally include personality dispositions that are relatively consistent, long-lasting, or internally-caused, such as extrovertedness and conscientiousness and incorporated in the Big Five Personality Traits Model or Five Factor Model (Digman, 1990; Goldberg, 1993), states are considered temporary, brief, and caused by external circumstances. In addition, state concepts identify those behaviors that can be controlled by manipulating the situation (Chaplin, John, & Goldberg, 1988). Lastly, a criteria used in POB and PsyCap is that they must be managed for performance improvement. This means that POB is concerned with how positive psychological resource capacity can be used to improve human performance in both the leadership role and human resource capacities (Luthans et al., 2015). The four components that best meet these criteria are hope, self-efficacy, resilience, and optimism, which are all state-like capacities that make up the higher order core construct of Psychological Capital.

Psychological Capital

Under the umbrella of positive psychology, a positive higher order core construct called Psychological Capital, or PsyCap, was developed and researched by Fred Luthans and colleagues (Luthans et al., 2015). Psychological Capital can be defined as:

An individual's positive psychological state of development that is characterized by (1) having confidence (efficacy) to take on and put in the necessary effort to succeed at challenging tasks; (2) making a positive attribution (optimism) about succeeding now and in the future; (3) persevering toward goals and, when necessary, redirecting paths to goals (hope) in order to succeed; and (4) when beset by problems and adversity, sustaining and bouncing back and even beyond (resiliency) to attain success. (Luthans et al., 2015)

The four components of Psychological Capital, which include hope, self-efficacy, resilience, and optimism, are considered first-order constructs and form the acronym H.E.R.O. Luthans and his colleagues use the expression "the HERO within" as a reminder of the four facets that make up PsyCap (Luthans et al., 2015).

According to Luthans et al. (2015), PsyCap is different from other positivity or self-help literature, in that there is solid theory and research behind the construct, it can be validly measured, it is state-like as opposed to being a personality trait, and it has a positive impact on desired attitudes, behaviors, and performance, especially in the workplace (p. ix). In addition, the higher order core construct of PsyCap "better predicts desired outcomes than each of its four individual components" (p. x). In other words, the effects of PsyCap as a whole with all four components can be predicted much more

precisely than the effects of each individual component. Because PsyCap is considered a state rather than a trait, it is something that can be changed, developed, or undermined because it is considered malleable (Allen, 2015). The authors believe that Psychological Capital can be leveraged to attain and sustain competitive advantage beyond other forms of capital, such as human capital, social capital, or economic capital (Luthans et al., 2015). Furthermore, PsyCap has been found to have a positive effect on work-family conflict (Karatepe & Karadas, 2014; Wang, Liu, Wang, & Wang, 2014) and employee well-being (Avey, Luthans, Smith, & Palmer, 2010), which are two areas in which many employees struggle.

Psychological Capital can also be viewed as a human resource and a positive leadership quality in general, which can in turn enhance an organization's performance. Traditionally, human resources management has sought employees with strong human capital, or in other words, an employee's knowledge, skills, and abilities. In addition, social capital, or the working network of an employee, has been highly regarded in potential employees. The problem with focusing solely on human or social capital or a combination of the two is that there is no guarantee that these forms of capital will produce a valued return (Luthans et al., 2015). In addition, according to Luthans et al., "the human and social capital an employee possesses today may or may not be valuable tomorrow" (p. 5). Employees must continually learn to remain relevant and competitive, therefore, human and social capital must continuously be adjusted. The idea of PsyCap is that organizations should not only rely upon "what you know" (human capital) or "who you know" (social capital), but "who you are" now and "who you are capable of

becoming” (Psychological Capital) (Avolio & Luthans, 2006; Luthans et al., 2004; Luthans & Youssef, 2004). Psychological Capital is a framework that can enhance and capitalize the other forms of capital so that an organization’s employees with integrated human, social, and Psychological Capital will help fully develop one’s potential. Figure 3 describes the different types of capital gained by an employee.

Traditional Economic Capital	Human Capital	Social Capital	Psychological Capital
<i>What you have</i>	<i>What you know</i>	<i>Who you know</i>	<i>Who you are</i>
<ul style="list-style-type: none"> • Finances • Tangible assets (plants, equipment, patents, data) 	<ul style="list-style-type: none"> • Experience • Education • Skills • Knowledge • Ideas 	<ul style="list-style-type: none"> • Relationships • Networks of Contacts • Friends 	<ul style="list-style-type: none"> • Hope • Self-efficacy • Resilience • Optimism

Source: Adapted from Luthans, F., Luthans, K., & Luthans, B. (2004). Positive psychological capital: Going beyond human and social capital. *Business Horizons*, 47(1), 45-50.

Figure 3. Beyond human and social capital

A positive approach is crucial in the workforce. In recent years, considerable attention has been given to stress, work-life conflict, burnout, and an unhealthy organizational behavior (Luthans et al., 2015). The aim of positive psychology and PsyCap is to help “psychologically healthy people become happier and more productive and actualizing their human potential” (p. 11). Many organizations use the negative “rank and yank” approach, which focuses on the bottom ten percent of employees. This has been proven to be ineffective and destructive, as are many negative approaches that create organizational dysfunction (Luthans et al., 2015). A positive leader with a positive approach has the potential to lead the culture in a positive direction.

Hope

Hope, although commonly used in everyday language, is a positive psychology construct. According to Rick Snyder, the most widely recognized researcher on hope, it can be defined as “a positive motivational state that is based on an interactively derived sense of successful (1) agency (goal-directed energy) and (2) pathways (planning to meet goals)” (Snyder et al., 1991, p. 287). What separates the common definition of hope as being wishful thinking, a positive attitude or an emotionally high state, from the Psychological Capital definition, hope must include the idea of agency, or “willpower.” Snyder’s research suggests that hope is a thinking state in which individuals set challenging but realistic goals and expectations for themselves and then use a self-directed determination to achieve those goals (Snyder, Rand, & Sigmon, 2002). Another important component of hope, according to Snyder and fellow researchers, is pathways, or “waypower.” Waypower refers to people’s ability to generate alternative paths to their desired goals if they encounter obstacles to their original path. “If one has the potential to control engaging with, when necessary, predetermined alternative pathways that ‘just might work,’ then hope is sustainable and can even grow” (Luthans et al., 2015, p. 83).

Luthans et al. (2015) elaborate on specific approaches that have proven successful in developing and sustaining hope. These recommendations include:

1. **Goal Setting.** Setting goals helps motivate individuals to know where they are and where they want to go, and also to find a path to get there. When a goal is internalized, personal, and offers choice in creating the pathway in getting there, performance has shown to increase (Latham, Erez, & Locke, 1988). “In

line with the theory of hope, performance gains are achieved when goals are internalized and committed to, and when goal achievement is self-regulated” (Luthans et al., 2015, p. 86).

2. **Stretch Goals.** These are goals that are sufficiently challenging to stimulate excitement and anticipation, while still perceived as attainable. They require extra effort, yet are doable (Luthans et al., 2015).
3. **Approach Goals.** Approach goals are the opposite of avoidance goals, which are framed in terms of what people should not do. Approach goals work better because there is a sense of accomplishment and motivation to persevere (Luthans et al., 2015).
4. **Stepping.** This integral component of hopeful goal achievement involves breaking down larger goals into smaller, more manageable parts. As progress is gradually made toward the larger goal, agency and pathways are augmented, improving one’s chance of attaining the goal (Luthans et al., 2015).
5. **Mental Rehearsals.** This allows individuals to practice the thoughts and actions that lead them to achieving their goals, and has shown to be successful as compared to having only the intention of reaching a goal (Gollwitzer & Sheeran, 2006). “When actual obstacles appear, we are better prepared to face them after they have been mentally rehearsed” (Luthans et al., 2015, p. 88).
6. **Rituals.** Rituals help keep people on track with their goals without having to think about them or exert a lot of energy to create the agency or pathways. Rituals, or habits, involve specific behaviors triggered at certain times of day.

Maintaining these rituals for what is important helps people stay committed to the goal while conserving mental and physical energy (Luthans et al., 2015).

7. Involvement. Developing autonomy, empowerment, and engagement in employees by getting them involved has a positive effect on hope, increased employee satisfaction and performance (Luthans et al., 2015).
8. Reward Systems. Recognition and positive feedback toward those who contribute to goals, exhibit agency, and demonstrate pursuit of multiple pathways toward goal attainment can help reinforce hope in individuals (Luthans et al., 2015).
9. Resources. Sustaining hope by clearly setting priorities and adequately allocating resources can result in goal achievement. Lack of resources can lead to a victim mentality whereby goals are not accomplished because the necessary resources are not available, thus diminishing hope (Luthans et al., 2015).
10. Strategic Alignment. Strategic leadership provides a clear line of sight for the possibilities of the organization's future, focusing on the alignment of the placement and development of human resources with employees' talents and strengths. Achieving alignment provides workers with more pathway choices in which to be successful (Luthans et al., 2015).
11. Training. Training that promotes hope include hands-on, interactive, and participative training rather than prescriptive approaches that lead to passivity

and limited pathways thinking. People need to develop goals that they own and are passionate about and can lead to positive impact (Luthans et al., 2015).

Being hopeful does not necessarily mean automatically reaching one's goal. False hope is caused by unrealistic expectations placed on a goal. Challenging goals give life purpose and meaning, and the risk of failure can boost determination to succeed (Lopez, 2013). However, repeated failure should prompt regoaling, meaning creating an adjustment to the goal or the pathway, or both. False hope occurs when a person fails to make the adjustment in the goal or pathway. High hope people, however, know when, how, and how often expectations or pathways should be adjusted to sustain the goal (Snyder & Rand, 2003). Hope is not just about setting and achieving goals, however. "It is about opening ourselves up to new possibilities and experiences beyond what we thought possible. It is about reinterpreting the past, resisting the closedness and limitations of the present, and willingly accepting the uncertainties of the future," (Luthans et al., 2015, p. 100). PsyCap hope is important for lifelong learning, and obstacles to goals can be seen as challenges to overcome or opportunities for growth.

Hope has been shown to have a significant impact on performance in the workplace (Luthans, 2002a; Luthans, 2002b; Luthans & Youssef, 2004). Peterson and Luthans (2003) have shown through empirical research that there exists a positive relationship between an organizational leader's level of hope and the satisfaction and retention of the organization's employees. Furthermore, Youssef and Luthans (2007) linked a manager's or employee's high level of hope with higher job performance, job satisfaction, work happiness, and commitment to the organization.

In the education field, it is important that leaders be hopeful, especially when modern challenges leave many hopeless. Students who find little relevance in their classes, an overemphasis on testing over learning and application, and uncaring or pessimistic adults can have negative psychological effects and diminish a young person's ability to hope. Younger generations lack three essential factors of hope, according to Luthans et al. (2015). First, they need an exciting future goal. Hope is linked with a person's ability to imagine a better future in life. Secondly, people need to believe that they have the willpower, or agency, and the pathways or waypower to achieve their goals. Finally, they need at least one caring and interested person to be a positive influence in their lives (Lopez, 2013). Because hope can be developed or learned by showing employees various pathways available to them, school leaders can help create hope in teachers, therefore helping to create hope in students.

Hopeful leaders focus on growth of the organization, and they believe that this growth is dependent on the growth of hope of their employees. A hopeful workforce and culture creates a competitive advantage in organizations because it is difficult to replicate by competitors (Luthans et al., 2015). Some of the characteristics of a hopeful leader include communicating goals that excite others and that are aligned to the organization's objectives, having a contagious energy and determination that can motivate workers, stimulating others to determine their own goals and stretch their limits, and respecting individuals, supporting their goals, and rewarding the creative pathways to reach their goals (Luthans et al., 2015). "The iterative nature of hope allows goal achievement to further nurture agency and pathways into even higher levels of hope" (p. 98). Effective

managers can proactively nurture and reinforce hope in their workers. Hope leaders are goal-oriented, agentic, and resourceful. “Hopeful leaders explain the rationale for their actions in a genuine, transparent, and trust-building manner” (p. 94). Hopeful employees are also beneficial and necessary to an organization. They demonstrate more independence in their thinking, they have a strong desire to grow and achieve, they are intrinsically motivated by having responsibility and meaningfulness in their jobs, and they are often more creative and resourceful (Luthans et al., 2015).

Within an organization, several factors can promote hope development and sustainability. “Strategic initiatives emphasizing long-term goal setting, coordination, integration, and contingency planning can create an organizational environment where agency and pathways thinking can thrive” (Luthans et al., 2015, p. 97). When employees can align their own goals with the organization’s goals, this can help develop an individual’s PsyCap hope. An organization’s strategic planning, clear vision and mission, realistic objectives, and open and transparent communication are ways in which an organization can develop a culture of hope that encourages its members to take initiative and responsibility and accept accountability. This is how organizations can stimulate, enhance, and maintain the willpower and waypower of its employees.

Self-efficacy

The most widely used definition of self-efficacy comes from Stanford University’s Albert Bandura, who is responsible for research in the field of social cognitive theory, from which the notion of self-efficacy derives. Bandura’s definition of self-efficacy originates from the idea of an individual’s perception or belief of “how well

one can execute courses of action required to deal with prospective situations,” (Bandura, 1982, p. 122). According to Stajkovic and Luthans (1998b), self-efficacy is defined as “an individual’s conviction (or confidence) about his or her abilities to mobilize the motivation, cognitive resources, and courses of action needed to successfully execute a specific task within a given context” (p. 66). Self-efficacy, like many other PsyCap dispositions, motivates an individual to welcome challenges and pursue goals using one’s strengths. In essence, self-efficacy is one’s own belief or confidence that he or she is capable of doing.

Individuals with a high self-efficacy are agentic, or in other words, people who make things happen by their own actions. Ways in which they do this are by setting high goals for themselves, welcoming challenge, being highly-motivated, investing enough effort to accomplish their goals, and persevering through obstacles (Luthans et al., 2015). Highly self-efficacious individuals build confidence and agency through four cognitive processes, which Bandura (2001) identifies as intentionality, forethought, self-reactiveness, and self-reflectiveness.

Agency refers to intentionality in one’s actions. Bandura (2001) differentiates intention from a mere expectation or prediction of the future by having a proactive commitment to bringing something about. In addition, a plan of action requires intention. With forethought, people motivate themselves and direct their actions in anticipating future events. Forethought provides direction, consistency, and meaning to one’s life. Self-reactiveness can also be seen as self-regulation, where an individual monitors, guides, and corrects his or her own behaviors (Bandura, 2001). Finally, self-

reflectiveness describes the way in which one examines his or her own functioning metacognitively. Through these four cognitive processes, self-efficacy becomes the foundation for agency. People's own beliefs about their efficacy can shape the course of their lives by influencing the types of activities and environments in which they choose to participate.

In positive psychology and PsyCap efficacy, the word "confidence" is often used as the definition for efficacy, with an emphasis on one's own beliefs. Highly efficacious individuals, according to Luthans et al. (2015), are self-motivated, set high goals for themselves and self-select into challenging tasks, invest the necessary effort to succeed in their goals, thrive on challenge, and when faced with obstacles, persevere. High-efficacy individuals are not impacted by self-doubt, negative feedback, obstacles or setbacks (Bandura & Locke, 2003) as barriers to their success. Success does not equal efficacy; it is the cognitive processing that determines the development of one's confidence or efficacy.

There are five important discoveries related to PsyCap efficacy, according to Luthans et al. (2015). First of all, PsyCap efficacy is domain-specific. Because an individual is confident in one area does not make him or her confident in other areas. Secondly, PsyCap efficacy comes from practice or mastery. It is very likely that people are most confident about tasks that they have repeatedly practiced and mastered. Tasks for which one is not confident are often those that are avoided. The third discovery is that PsyCap efficacy allows for room for improvement. Everyone has a certain comfort level with various tasks, and there is often a way to make improvements. Fourth, PsyCap

efficacy is influenced by others. “What other people tell you about yourself affects your own self-evaluation” (Luthans et al., 2015, p. 49). Others’ belief in an individual’s success can boost his or her own belief in success. In addition, when individuals see others like themselves succeed, they can develop confidence that they will also be able to be successful in that domain. “The key is your ability to identify with the role model being observed, and that the model is relevant to you, so that you can realistically relate this individual’s success to what you can do.” Finally, the fifth discovery in PsyCap efficacy is that efficacy is variable. One’s confidence level depends on many different variables, sometimes within one’s control and sometimes not. In the end, an individual needs to look back to move forward in terms of development of efficacy (Luthans et al., 2015). If an individual reflects and learns by cognitively processing both successes and failures, then this is the way to advance in terms of self-awareness, self-regulation, and self-development that leads to self-efficacy.

Developing PsyCap efficacy is important to sustaining effective leadership and performance over time (Avolio & Luthans, 2006). More specifically, collective efficacy is a critical component of school leadership. School leaders need to have the ability to accomplish important goals collectively through interdependence with one another and shared beliefs. Collective efficacy is related to higher group performance, increased problem-solving, and transformational leadership. Luthans et al. (2015) argue that if organizational leaders and human resources managers focus on this one area of employee development and growth, they could significantly increase the level of the performance output of the organization.

Self-efficacy has been positively related to work performance and leadership in research literature (Hannah, Avolio, Luthans, & Harms, 2008; Stajkovic & Luthans, 1998a; Stajkovic, Lee, & Nyberg, 2009; Youssef-Morgan & Luthans, 2013). This is due partly because efficacy has been supported as a significant contribution toward effective functioning under stress, challenge, and fear, due to one's perception of control (Bandura & Locke, 2003). In the workplace, individual self-efficacy is valuable, and so is the idea of "collective efficacy," meaning the shared belief of a group that they can be successful together. Bonner and Bolinger (2013) have shown in their research that groups outperform individuals in decision-making and are more confident collectively than the individuals that make the group. In addition, collective efficacy has also been shown to positively relate to workers' job satisfaction and commitment to the organization (Walumbwa, Wang, Lawler, & Shi, 2004).

Resilience

Resilience can be defined as "the capacity to rebound or bounce back from adversity, conflict, failure, or even positive events, progress, and increased responsibility" (Luthans, 2002a, p. 702). Positive psychology researcher Ann Masten (2001) has written that resilience is characterized by "good outcomes in spite of serious threats to adaptation or development" (p. 228) and comes "from the everyday magic of ordinary, normative human resources" (p. 235). PsyCap resilience is "a dynamic, malleable, developable psychological capacity or strength" (Luthans et al., 2015, p. 155). Furthermore, in the workplace, Luthans et al. acknowledge that resilience development requires adversity and adaptation, but also subsequent growth from positive challenging events. The goal of

studying resilience in the workplace is to look at what conditions help facilitate this powerful capacity in workers, leaders, and organizations. Several factors can contribute to the development of resilience. For example, Luthans et al. believe that assets, risk factors, and values can all contribute or hinder the development of resilience in the workplace.

A resilience asset can be defined as “a measurable characteristic in a group of individuals or their situation that predicts positive outcome with respect to a specific outcome criterion...across levels of risk” (Masten, Cutuli, Herbers, & Reed, 2009, p. 119). Masten (2001) identifies several assets that can contribute to a higher level of resilience, such as self-regulation, a sense of humor, positive self-perception, and a positive outlook on life. In addition, in the workplace, other assets that can contribute to building resilience include positive relationships and collective efficacy. Gorman (2005) expands on this notion, noting the effect that relationships have on mentees who are able to bounce back and become successful because of a champion mentor.

In addition to assets, resilience has risk factors that can cause a heightened probability of undesirable outcomes (Masten et al., 2009). Risk factors can include dysfunctional or destructive experiences, such as violence or abuse, and in the workplace, stress and burnout. These risk factors can increase the occurrence of negative or undesirable events. However, it is important to note that risk factors are inevitable, and challenges are necessary for growth and development. In schools where children are often considered “at-risk” because of inadequate homelife conditions such as poverty, abuse, or lack of parental guidance, educators often judge and treat them as if they are

going to fail, thus making attempts to equip these students “with an inventory of adaptation and coping techniques that may result in ‘normal’ functioning despite adversity” (Luthans et al., 2015, p. 150). In regards to PsyCap resilience, these adversities would be viewed as not only risk factors but challenging opportunities for growth and success, and could result in a more positive self-fulfilling prophecy (Luthans et al., 2015).

One’s values also play a role in the development of resilience, in that values help to guide and provide consistency and meaning to one’s emotions and actions. Richardson (2002) has found that individuals whose actions align with their moral frameworks have been found to experience increased freedom, energy, and resilience. One’s values can drive judgments, guiding principles, and service to others. Values provide the belief in a cause greater than oneself or a higher purpose, thus enhancing the resilience level and those it influences (Luthans et al., 2015).

Resilience in leadership is an important quality to have in terms of supporting the organization and its employees. A leader-follower relationship based on trust, open communication, valuable work, transparency, authenticity, and integrity can build resilience in both leaders and followers (Avolio & Luthans, 2006). Authentic or transformational leaders strive to open avenues of communication to encourage followers to give them sincere feedback (Luthans et al., 2015). This upward feedback loop can help authentic leaders reduce the risk of unexpected challenges to emerge and resilience to be reduced. Moreover, this trusting relationship between leader and follower plays a critical role in healing an organizational after a crisis, such as a school shooting (Powley & Powley, 2012), because authentic leaders can guide subsequent actions and turnaround

during difficult times. Leaders use self-awareness to better focus their energies, actions, and resources toward further self-development (Luthans et al., 2015), thus providing direction and empowerment to employees.

In the workplace, resilience has much appeal and can be very useful, due to the increasingly competitive, ever changing environment. For those unable to cope with the constant need to adapt, the work environment can be stressful and confusing, resulting in dysfunction for both the individual and the organization. However, highly resilient workers can thrive on chaos and proactively grow and learn through hardships to excel despite setbacks (Hamel & Välikangas 2003). Resilience is not just a reaction to difficulties where one simply bounces back to the former self, but can be seen as a proactive approach which can help one flourish through adversities to reach a higher ground than previously attained. Furthermore, “resilient people experience enhanced self-reliance, self-efficacy, self-awareness, self-disclosure, relationships, emotional expressiveness, and empathy” (Luthans et al., 2015, p. 155). While this growth perspective can be included in both the professional and personal arena, research by Luthans et al. supports that resilience is related to improved performance and bottom-line gains in the business world. In addition, it can be aligned to increased job satisfaction, improved organizational commitment, and enhanced social capital.

Masten and colleagues (2009) have identified strategies for resilience development that can be adapted for the workplace. These include asset-focused strategies, risk-focused strategies, and process-focused strategies. Asset-focused strategies are those that enhance the perceived and actual level of assets and resources to

increase the possibility of positive outcomes. They may include human and social capital in the workplace. Asset-focused strategies can also be related to PsyCap components, such as self-efficacy, hope, and optimism. Risk-focused strategies include factors that increase the probability of preventing undesirable outcomes. An example of a risk-focused strategy would be receiving feedback from a coach or mentor to build resilience in a proactive way, or entrepreneurial initiatives that would require thinking out of the box (Luthans et al., 2015). However, many people resort to safer risk-avoidance strategies instead of risk-focused strategies to play it safe. Lastly, process-focused strategies are those which focus on adapting systems and processes. For example, developing and processing one's self-awareness and self-regulation are ways to use approach-coping strategies to develop and grow resilience. A leader's or employee's assets, risk factors, and values can be managed and integrated to have a substantial effect on the development of resilience.

Optimism

According to Peterson (2000), optimism is a beneficial psychological characteristic that is linked to good mood, perseverance, achievement, and physical health. Optimists are those who expect positive events to be permanent and come from within and negative events to be temporary and external. Seligman (2006) associates optimists with having thoughts about negative events as simply temporary setbacks and not their fault. On the contrary, pessimists interpret positive events to be external and temporary, and internalize negative events to be personal, permanent, and pervasive (Seligman, 2006). When optimists are faced with adversities, they tend to use problem-

focused coping mechanisms and frame the situation more positively (Luthans et al., 2015). Optimism has been shown to relate to positive events and outcomes, including workplace performance and education (Avey, Reichard, Luthans. & Mhatre, 2011; Seligman, 2002; Seligman, 2006). Furthermore, many studies have found that leaders influence employee optimism and mutual cooperation (Chen & Bliese, 2002; Zaccaro, Rittman, & Marks, 2001).

There is value in being overly optimistic, or believing that the outcome is higher than is warranted. Being overoptimistic can help people to pursue their dreams by desiring the best outcomes, even if the chance of success is slim. In addition, being overly optimistic can help in preparedness, since it can motivate individuals to pursue more challenging goals, take advantage of opportunities, and deal with unintended consequences or obstacles in trying circumstances. Furthermore, according to Krizan and Windschitl (2007), being overly optimistic helps to influence expectations or outcomes. This is called desirability bias, or “a tendency to be overoptimistic about a future outcome as a result of their preferences or desires for that outcome” (p. 95).

There are potential negative consequences to being overly optimistic as well. For example, people who are too optimistic may be involved in higher risk-taking, because they assume they can handle the risk factors, or that they will not negatively affect them. Peterson (2000) discusses the idea of flexible optimism, where an individual chooses when to use optimistic or pessimistic explanatory styles according to the appraisal of the situation at hand. In looking at PsyCap optimism, Luthans et al. (2015) advocate for realistic and flexible optimism, where people learn from and enjoy various life events to

the fullest extent possible. One with high PsyCap optimism will take credit for success of which they are in control, but also learn from their mistakes, accept what they cannot change, and move on (Luthans et al., 2015).

In terms of optimistic leadership, research supports that positive leaders are more authentic and effective (Avolio & Luthans, 2006; Walumbwa, Peterson, Avolio, & Hartnell, 2010). Overall, leaders who think positively are more effective in terms of their decision-making, communication about the organization's performance, and ability to motivate others. Leaders with high PsyCap optimism are critical in the development of leadership and success in others (Luthans et al., 2015). This is also apparent in Jim Collins' (2001) description of Level 5 Leadership, where leaders take pride in the success of others so that the organization can thrive.

An optimistic leader is as important as an organization with an optimistic culture. When an organization looks internally for permanent and pervasive sources through an optimistic lens, the decision-making structure, culture, and the outcomes are driven by an optimistic outlook of the organization's future. The organization celebrates successes and extracts lessons learned from them (Luthans et al., 2015). An organization led by PsyCap optimism would not allow complacency and inertia to stagnate success, but instead, it would seek to reinvent itself and find positive controllable aspects in its possible opportunities in the future.

In the ever-changing and complex workplace, optimistic and pessimistic employees can react differently to the same events or situations. Whereas optimists are more likely to embrace change, see opportunities that lie before them, and focus on

taking advantage of those opportunities, pessimists may dwell on incidences of failure or poor performance as they strive for more certainty in their work lives. Optimistic employees believe they are in control of their own destiny, and this can lead to a self-fulfilling prophecy (Peterson & Chang, 2002). An optimistic explanatory style may help develop career resiliency, autonomous growth and employee development, and a more positive, healthy, and productive workforce.

Schneider (2001) believes that pessimism can be reversed and optimism can be developed through mentoring, coaching, role modeling, and simple things such as work friendships and social events. In addition, positive constructive feedback and social recognition can motivate positive behaviors, developing an upward spiral of positivity and optimism (Luthans et al., 2015).

The Illinois 5Essentials Survey

The Illinois 5Essentials Survey, originally developed by the University of Chicago Consortium on Chicago School Research (CCSR) and administered in Chicago Public Schools (CPS) since 1994, is a framework and survey based on over 20 years of school research. Prior to the Illinois 5Essentials Survey, Chicago Public Schools' educators observed that some elementary schools improved dramatically while others remained stagnant in their percentage of students meeting national norms in reading and math (The University of Chicago Consortium, 2015). CPS teamed with the University of Chicago Consortium on Chicago School Research to develop a system wide guide for school improvement. The Illinois 5Essentials Survey framework is based on five key concepts in school improvement that have a positive relationship to student achievement

outcomes. The research shows that schools that are safe, well organized, and supportive are more likely to be successful. The University of Chicago Consortium on Chicago School Research determined, through its original research on Chicago Public Schools elementary schools, that schools strong on at least three of the five essential components were ten times more likely to improve student learning gains in math and reading than schools weak in three or more of the 5Essentials (The University of Chicago Consortium, 2015). These schools are also less likely to see student achievement results stagnate or decline (U.S. Department of Education, 2014).

The five essential components for school success include:

- Effective Leaders: Principals work with teachers to implement a clear vision for success;
- Collaborative Teachers: Staff is committed, receives strong professional development and demonstrates collective efficacy;
- Involved Families: Staff develops strong relationships with families and community to support learning;
- Supportive Environment: The school is safe, teachers have high expectations for students, and students are supported by their teachers and peers; and
- Ambitious Instruction: Classes are academically challenging and engaging and ask students to apply knowledge.

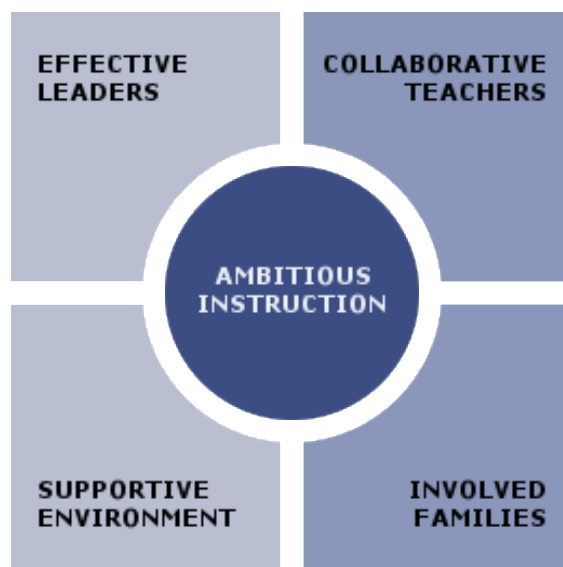


Figure 4. The Illinois 5Essentials Survey Components

Figure 4 depicts the 5Essentials Survey framework and its domains. The framework asserts that the vision and actions a principal demonstrates under Effective Leaders is a catalyst for school improvement, with the leader serving in a role that stimulates and supports the development of the four additional core organizational domains. “Effective leadership requires taking a strategic approach toward enhancing performance of the four other domains, while simultaneously nurturing the social relationships embedded in the everyday work of the school” (The University of Chicago Consortium, 2015, p. 6).

The Effective Leaders domain centers around three key areas of leadership: managerial, instructional, and inclusive-facilitative (“Essentials of School Culture,” n.d.). The managerial dimension focuses on basic aspects of leadership and management, and the instructional dimension includes areas of school leadership that focus on formative

feedback to teachers, leading initiatives, and improving instructional capacity. Finally, the inclusive-facilitative dimension is also referred to as adaptive leadership (“Essentials of School Culture,” n.d.). This is an important dimension, because it involves the ability of the leader to build capacity for change. Without this dimension, “it is very difficult for a school to successfully implement new programs and initiatives” (“Essentials of School Culture,” n.d.). Adaptive leadership is an important component of effective leadership, as this capacity is crucial in establishing followership and collective capacity to implement worthwhile initiatives that improve student achievement.

The Collaborative Teachers construct focuses on the quality of the human resources, the quality of ongoing professional development available to teachers along with a school-based professional community tasked with improving teaching and learning, and the beliefs and values that reflect teacher responsibility for change. The components in the Collaborative Teachers category reinforce and promote the idea of individual and collective efficacy and growth. This domain is an essential result of strong leadership, because it fosters a strong sense of collective responsibility for student development, school improvement, and professional growth (“Essentials of School Culture,” n.d.). A high rating in this dimension also indicates that teachers are deeply committed to their school and their students, and that they are respectful and supportive of one another, personally and professionally (“Essentials of School Culture, n.d.).

Involved Families requires a partnership between parents and educators to strengthen student learning. A Supportive Environment is one that is conducive to academic work, provides clear and consistent expectations for behavior, and asserts that

teachers hold high expectations for learning and academic achievement for their students while providing necessary supports. Finally, the Ambitious Instruction construct demonstrates the fact that educators must prepare students for further schooling, specialized work, and responsible civic engagement by providing them learning opportunities to organize their work, collaborate, and monitor their own progress (The University of Chicago Consortium, 2015). The five essential supports reflect the important connection between a school's organizational structure led by the principal and the supports that are present for teachers and students. Figure 5 shows the impact of an effective leader on the other areas of school improvement.

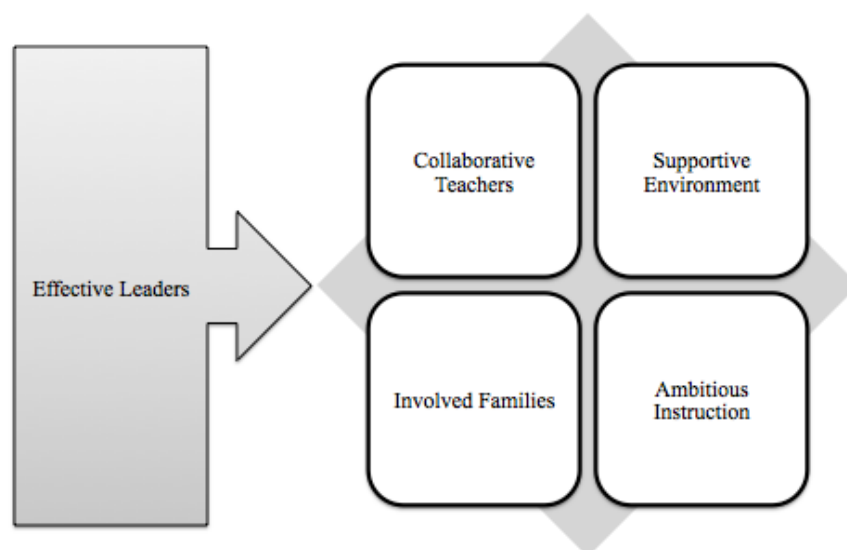


Figure 5. 5Essentials Effective Leaders as the catalyst for school improvement

There is evidence in and outside of the CCSR research that suggests the categories of Effective Leaders and Collaborative Teachers promote positive organizational conditions that are related to school improvement. In comparing high

schools, the CCSR researchers discovered that “differences in instruction and student achievement were associated with principal leadership only via the learning climate” (The University of Chicago Consortium, 2015, p. 8). This analysis suggests that providing a safe learning environment may be the most important leadership task for promoting student achievement school wide. The CCSR also cites other research that shows “school leaders have an impact on student achievement primarily through their influence on teachers’ motivation and working conditions” (p. 8). Similarly, evidence from outside of Chicago related to the Collaborative Teachers category indicates that schools with higher levels of collaborative teachers who feel collectively responsible for all students demonstrate higher student achievement.

The Illinois 5Essentials Survey asks students, staff, and parents about their perceptions concerning school leadership, safety, teacher collaboration, family involvement, and instruction. The information gathered from the surveys is then compiled and analyzed, providing each school with a customized report on the five essential components critical for school improvement. The Illinois State Board of Education has made the administration of the Illinois 5Essentials Survey or an alternate learning conditions survey mandatory on a biennial basis since the 2012-2013 school year for all Illinois public schools to help school leaders and teachers use data to create a more effective school environment for teaching and learning. After the first year of statewide implementation, the University of Chicago Consortium (2015) determined some key findings, although they prefaced that causal effects could not be determined after only one year of survey data. According to these preliminary findings, schools in urban

Chicago Public Schools and rural areas are most likely to be strong in Effective Leaders and Collaborative Teachers. Schools in suburban areas are more likely to be strong in Involved Families, while schools in suburban and rural areas show stronger results for the Supportive Environment component.

Adaptive Leadership

Adaptive leadership is a framework for leadership designed by Ron Heifetz and Marty Linsky (2009) that is designed to assist leaders and organizations tackle change that enables the organization to thrive. This aligns with the positive psychology mindset in that it focuses on augmenting people's strengths so that they may flourish. Adaptive leaders use a set of practices and strategies that are designed to break through difficult changes with growth, development, and collective capacity. According to Heifetz et al., adaptive leadership works on the assumptions of six core concepts. First, "adaptive leadership is specifically about change that enables the capacity to thrive" (p. 14). As organizations continue to change, leaders need new strategies and abilities to maneuver around those changes. Just as Psychological Capital can enhance a leader's human and social capital, the growth and development that occurs with adaptive leadership and Psychological Capital can help the leader develop new strengths that benefit the organization as a whole.

Secondly, successful adaptive changes build on the past and are considered conservative and progressive at the same time (Heifetz et al., 2009). Next, Heifetz et al. believe that organizational adaptation occurs through experimentation. Leaders must learn to improvise as they go, finding the right resources along the way for the next set of

experiments. Also, adaptation relies on diversity-diverse human capital, opinions and perspectives help the organization optimally function. Finally, the last two concepts are that adaptation can generate loss, and adaptation takes time. Adaptive leaders know that an organizational culture changes slowly, but if adaptive leaders are able to mobilize their employees to meet the challenges and take collective responsibility for the changes, over time, “these and other culture-shaping efforts build an organization’s adaptive capacity, fostering processes that will generate new norms that enable the organization to meet the ongoing stream of adaptive challenges posed by a world ever ready to offer new realities, opportunities, and pressures” (Heifetz et al., 2009, p. 17).

Another concept that Heifetz et al. (2009) discuss is the difference between technical problems and adaptive challenges. Technical problems can be complex and important, and they usually have known procedures and solutions. They can be resolved through authoritative expertise or the organization’s current structures and procedures. However, adaptive problems have no recognized solutions or experts in the field. The definition of the problem is not clear, and they can only be addressed through changes in people’s priorities, beliefs, and habits. This is where adaptive leaders are ideal, because they would work toward finding solutions through generating new capacities, mobilizing staff, and uniting efforts to find effective solutions. Figure 6 distinguishes between technical problems and adaptive challenges. An adaptive leader needs to continuously learn new things and grow their capacity to solve the type of problems that require adaptive leadership.

Kind of challenge	Problem definition	Solution	Locus of work
Technical	Clear	Clear	Authority
Technical and Adaptive	Clear	Requires learning	Authority and stakeholders
Adaptive	Requires learning	Requires learning	Stakeholders

Figure 6. Technical Problems vs. Adaptive Challenges

Summary

From the positive psychology movement under the direction of Seligman and Csikszentmihalyi (2000), the emphasis in traditional psychology of what is wrong with people began to shift to a positive psychological approach of what is right with people. Positive psychology focuses on strengths and resilience, development of wellness and prosperity, and an overall sense of subjective well-being. Seligman and Csikszentmihalyi developed three levels of analysis of positive psychology, which occur at the subjective level (positive subjective experiences, such as contentment with the past, happiness in the present, and hope and optimism for the future); the micro, individual level (positive traits, such as the capacity for love); and the macro group and institutional level (positive citizenship and strong work ethic).

In the organizational behavior world, similar to the field of psychology, the traditional approach has been to focus on the negative, such as burnout, stress, work-life imbalance, and resistance to change. Luthans (2002a) describes the need for a positive psychology approach to organizational behavior by defining Positive Organizational Behavior (POB) as the “study and application of positively oriented human resource strengths and psychological capacities that can be measured, developed, and effectively

managed for performance improvement in today's workplace" (p. 698). Being consistent with Luthans' work in Psychological Capital and in positive psychology overall, POB is measureable and researchable, separating it from some self-help bestsellers with similar titles. Furthermore, POB includes state-like qualities, rather than traits or dispositions written about in other books by Collins or Covey. State-like concepts are open to learning, development, growth, change, and management in the workplace (Luthans, 2002a). The famous quote from Vince Lombardi, "leaders are made, they are not born" defines the state-like qualities that make up the POB criteria, such as hope, self-efficacy, resilience, and optimism, instead of personality traits or dispositions that one is born with and more difficult to change. Psychological Capital is a core construct of POB (Luthans & Youssef, 2004), made of the four state-like concepts of hope, self-efficacy, resilience, and optimism. Empirical findings show the importance of these PsyCap qualities on job satisfaction, job performance, as well as organizational commitment (Luthans, Norman, Avolio, & Avey, 2008).

The Illinois 5Essentials Survey has over twenty years of research that demonstrates how Effective Leaders, Collaborative Teachers, a Supportive Environment, Involved Families, and Ambitious Instruction create the environment necessary for student achievement and growth. A school principal is integral in leading this positive school culture. A school principal also needs to lead with a larger purpose in mind, and by being an adaptive leader, he or she will mobilize the school community to strengthen the school culture by ensuring the purpose is a shared one. Adaptive leaders are hopeful,

but also resilient in that they keep that larger purpose at the forefront in the decisions they make.

CHAPTER III
METHODOLOGY

Introduction

Positive psychology is the study of a person's strengths and what makes him or her flourish, as opposed to studying what is wrong with a person and how to fix it (Luthans, 2002a; Nelson & Cooper, 2007; Seligman & Csikszentmihalyi, 2000). A concept within positive psychology, called Positive Organizational Behavior, is the study of positively-oriented human resource strengths for performance improvement in the workplace (Luthans, 2002b). Positive Organizational Behavior (POB), a human resources framework often used in the corporate world, takes a positive psychology approach to organizational behavior and focuses on the positive, or what makes an organization flourish (Bakker et al., 2005; Frederickson & Losada, 2005; Luthans, 2002a). POB has proven to be positively affected by a leader's Psychological Capital (PsyCap), which is the collection of positive psychological states that can impact employee attitudes, behaviors, and performance (Luthans, 2002b). The PsyCap states include hope, self-efficacy, resilience, and optimism (Luthans, 2002a; Nelson & Cooper, 2007). If Psychological Capital can positively influence an organization's positive organizational behavior, in theory, a principal's PsyCap would have equally positive results on the school's culture.

Effective school leaders are tasked with the responsibility of cultivating a strong school culture, which is born from a school's mission and vision and influenced by successful academic achievement, high employee satisfaction, and a shared belief system, along with pride, traditions, and community. While school culture can be thought of as part of the implicit curriculum, a leader with a high PsyCap is explicit in developing a positive organizational behavior.

This study examined the relationship between a principal's Psychological Capital and its influence on the organization's culture, a concept studied within the field of positive psychology that demonstrates a leader's qualities of hope, self-efficacy, resilience, and optimism and their impact on a strong organizational culture. The Illinois 5Essentials Survey, based on 20 years of research, is a tool that surveys teachers, students, and parents on the organizational culture and learning environment of a school. It claims that "schools strong on the five essentials are ten times more likely to improve student learning than schools weak on the five essentials" (Illinois State Board of Education, 2014). This research examined the results of the Illinois 5Essentials Survey to explore the relationship between a public school principal's PsyCap and the school's culture based on two of the five categories in the Illinois 5Essentials Survey, namely Effective Leaders and Collaborative Teachers. An effective leader is one who has a high overall ranking in all five categories of the Illinois 5Essentials Survey, namely Effective Leadership, Collaborative Teachers, Involved Families, Supportive Environment, and Ambitious Instruction, with exceptionally high rankings in the two categories studied.

Problem and Purpose Overview

Schools are often defined by the academic success of their students and the school climate. Parents will often choose a school based on how well students perform on standardized tests, which, in some opinion, is a clear demonstration of strong academic achievement, or based on their perception of the school climate, or how well their child will be supported both socially and emotionally. Strong academics and school climate are not phenomena that happen by chance; it takes an effective leader who steers personnel toward a shared system of values and positive mission and vision. In addition, teachers often withdraw from a school where they do not feel supported professionally. According to Bolman and Deal (2013), when employees perceive they are not supported, they will often withdraw through chronic absenteeism or by quitting, or they will withdraw psychologically, by becoming indifferent or passive (pp. 125-126). In order to keep satisfied employees and to develop a strong organizational behavior, it is important to develop human capital and empower employees (Bolman & Deal, 2013). Lencioni (2012) states that between intelligence and organizational health as being the characteristic that should receive first priority, “health comes out a clear number one” (p. 9). A leader’s Psychological Capital, or PsyCap, has proven to be successful in developing a Positive Organizational Behavior, or POB in corporations around the world (Fredrickson & Losada, 2005; Bakker et al., 2005; Bakker & Schaufeli, 2008; Luthans, 2002a; Nelson & Cooper, 2007). While there is considerable research in the business world pertaining to a leader’s PsyCap and POB, there is a need for more of this research in a school setting.

School leaders often share many of the same managerial and leadership functions of a school as a CEO does for a corporation. The purpose of this study was to determine if a school leader creates the conditions for a strong school culture through a positive Psychological Capital, much like a CEO can improve a corporation's positive organizational behavior. A school leader, who demonstrates hope, self-efficacy, resilience, and optimism, sharing similar leadership states as a business leader, should be able to develop a strong organizational behavior in a school setting with this leadership approach.

Epistemological Assumptions

By taking a positive psychology human resources framework and evaluating its effectiveness in a school setting, a substantive theory stance was applied because this approach "privileges the substantive theory of the program being evaluated, rather than the methods to be used" (Greene, 2007, p. 74). Thus, positive psychology, Positive Organizational Behavior, and Psychological Capital became the guiding frameworks for the research design and the choice of methods, and was therefore supported by theory rather than methods. Furthermore, one can argue that this research was a mixed methods development study, because "the results of one method are used to inform the development of the other method" (p. 102) and because the methods were implemented sequentially. Using two methods in this research helped to improve the relationship between a principal's Psychological Capital and the school's culture.

The purpose of this study was to explore the positive psychological states that Illinois school principals effectively possess in order to build a positive organizational

behavior or positive building culture. In other words, the intent of this research was to gain a deeper understanding, through quantitative data collection and qualitative methods, of what state-like leadership qualities, namely hope, self-efficacy, resilience, and optimism, successful Illinois public school principals demonstrated to develop a positive working environment. Additionally, the researcher wishes to contribute to the educational leadership field by providing relevant examples of learned states to help principals strengthen the organizational behavior of their schools. More specifically, the researcher demonstrated how hope, self-efficacy, resilience, and optimism, are key states of leaders and how these constructs affected the performance of the schools they lead.

Research Questions

The following research questions were applied to determine which positive PsyCap state-like qualities a school leader used to cultivate a positive school culture:

1. What is the relationship between a public school leader's Psychological Capital, related to hope, self-efficacy, resilience, and optimism, and a school's culture as measured by the Illinois 5Essentials Survey?
2. Which Psychological Capital attributes have the greatest influence on a school's culture?
3. What is the performance of the principals who have demonstrated high PsyCap, as measured by the categories of Effective Leaders and Collaborative Teachers on the Illinois 5Essentials Survey?
4. What other qualities contribute to effective leadership?

Research Design

This research design was an explanatory sequential design, which allowed for a mixed method analysis of quantitative and qualitative data study, using two instruments. This study called for mixed methods research because it collected and analyzed both quantitative and qualitative data to respond to the research questions (Creswell, 2015). Creswell and Plano Clark (2007) define mixed methods as:

A research design with philosophical assumptions as well as methods of inquiry. As a methodology, it involves philosophical assumptions that guide the direction of the collection and analysis of data and the mixture of qualitative and quantitative data in a single study or series of studies. Its central premise is that the use of quantitative and qualitative approaches in combination provides a better understanding of research problems than either approach alone. (p. 5)

In addition, the study used rigorous methods from the sampling approach, the instruments used to collect data, and the data analysis procedures (Creswell, 2015). Furthermore, according to Creswell, a good mixed methods study will integrate data. This research design was explanatory sequential, which means it used qualitative methods to explain the initial quantitative data and involved the principle of gradual selection. From the quantitative data, inferences were made to inform the qualitative data, which allowed for integration and meta-inferences of the mixed methods data analysis (Cameron, 2009). Figure 7 describes the explanatory sequential research design. Finally, Creswell (2015) suggests that advanced designs incorporate various theoretical frameworks. This study

researched effective educational leadership and organizational culture within the realm of the behavioral science of positive psychology.

The first phase of the design was quantitative in nature and involved administering a survey to Illinois public school principals outside of the Chicago Public Schools using the Psychological Capital Questionnaire (PCQ-24). This tool, comprised of 24 statements measured by a Likert scale, assessed the participant's self-perception of hope, self-efficacy, resilience, and optimism, the four PsyCap states. The PCQ-24 has been used in multiple previous studies and demonstrates reliability and validity across various corporations (Luthans, Avolio, Avey, et al., 2007). From there, the results from the Psychological Capital Questionnaire were compiled and a statistical analysis of the various PsyCap capacities of school leaders was performed. These results were then compared to the leader's 2017 Illinois 5Essentials Survey school data in the categories of Effective Leaders and Collaborative Teachers in a multiple regression analysis, revealing the relationship between school leaders' PsyCap states and each of its components with the 2017 Illinois 5Essentials Survey ratings. From these findings, the researcher determined which results needed further exploration in the qualitative phase, and what questions were to be asked of participants in the second phase.

The second instrument was qualitative in nature. A small sample of three participants was interviewed. The researcher gathered data in the form of semi-structured interviews, in which school leaders were given the opportunity to elaborate on their Psychological Capital states, and how they believed them to affect their school's culture. The qualitative method helped explain the quantitative results in more depth, and the two

phases were connected in the intermediate stage in this study. By studying the results from the Psychological Capital Questionnaire and the interview, the researcher hoped to discover common traits, with respect to high PsyCap states and high rankings on the Illinois 5Essentials Survey pertaining to leadership and school culture. In addition, the researcher analyzed the PsyCap data to determine which, if any, of the PsyCap states was more influential in developing a strong school culture, be it hope, self-efficacy, resilience, or optimism, or a combination of them. According to Creswell (2015), the two phases build upon each other, and the two stages of research are distinct and easily recognized.

Figure 7 illustrates the explanatory sequential mixed methods research design.

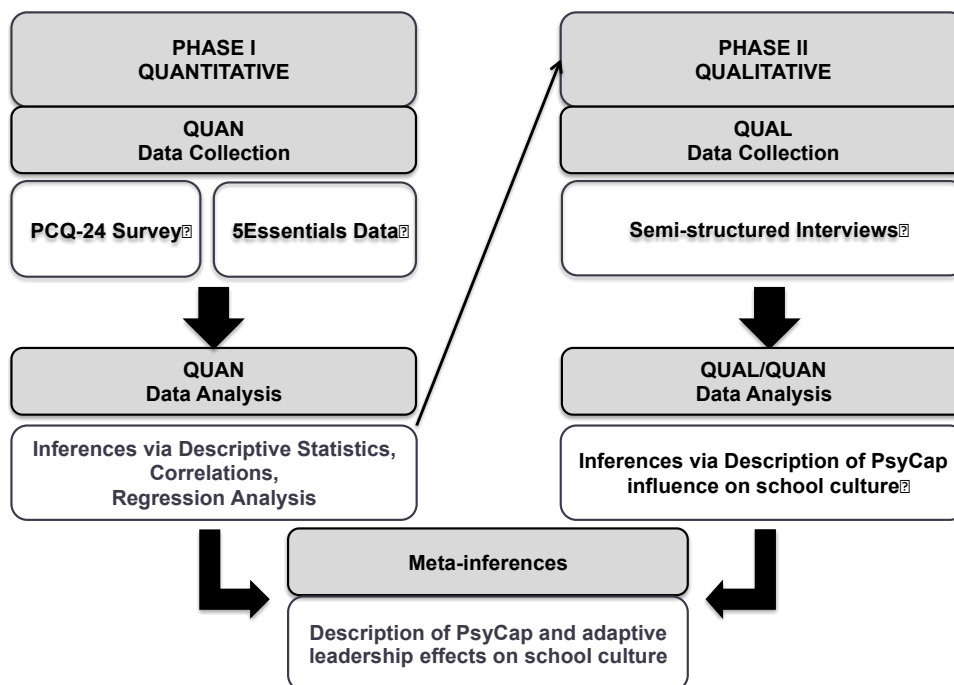


Figure 7. Explanatory sequential mixed methods research design

Background Information

Illinois 5Essentials Survey

Illinois schools are required to administer the Illinois 5Essentials Survey or another learning conditions survey, and that information is reported annually on the school's Illinois Report Card. The Illinois 5Essentials Survey surveys teachers, students, and parents about the school's learning conditions and environment (Illinois State Board of Education, 2014). There are five categories on the Illinois 5Essentials survey, which include Effective Leaders, Collaborative Teachers, Involved Families, Supportive Environment, and Ambitious Instruction. The University of Chicago Consortium on Chicago School Research has implemented the survey and studied schools for over twenty years, and has found these five categories to be critical in school success, even after controlling for other school characteristics, such as poverty (ISBE, 2014). This study involved looking at ratings from the first two categories of Effective Leaders and Collaborative Teachers. The category of Effective Leaders is defined as "the principal works with teachers to implement a clear and strategic vision for school success" (ISBE, 2014). ISBE defines Collaborative Teachers to mean "the staff is committed to the school, receives strong professional development, and works together to improve the school." While all five categories are critical in defining school success, the researcher chose the two categories of "Effective Leaders" and "Collaborative Teachers" because they relate most directly to a leader's influence on a positive school culture, as reported by employees of the school. The Illinois 5Essentials Survey categories are rated as having Least Implementation, Average Implementation, More Implementation, and Most

Implementation, with Most Implementation being the highest ranking (ISBE, 2014).

Furthermore, the ratings for the individual essentials are compiled to give a final rating for the school in terms of its ability for improvement: Not Yet, Partially, Moderately, Organized, and Well-Organized for improvement.

Psychological Capital

Psychological Capital is a concept developed by Fred Luthans et al (2007) that impacts a leader's ability to develop a positive organizational behavior. Self-efficacy, hope, optimism, and resilience, which are the components of PsyCap, are admirable traits individually but together, have demonstrated promising outcomes in multiple business settings. It is valuable to learn from business leaders who cultivate a positive organizational behavior through these state-like concepts. According to Luthans et al., PsyCap is not only measurable, research-based, and open to development, but it is also impactful on work-related performance. It is possible for public school principals who possess the PsyCap states to make a dramatic contribution to a school's culture.

Positive Organizational Behavior

School leaders, such as principals, strive to develop a positively functioning culture within their schools where employees are working toward a positive end result, just as corporate leaders make great efforts to achieve a positive organizational behavior. School leaders, much like corporate leaders, may find it difficult to develop a culture of satisfied, resilient, motivated employees who in turn, influence the organization for improvement. With positive leadership practices, an organization can develop a positive organizational behavior. Because schools are organizations that support employee

productivity and positive outcomes, such as improved student achievement and well-being, it is key to learn from the corporate world how leaders can cultivate a positive organizational behavior through state-like concepts, such as hope, self-efficacy, resilience, and optimism (Gardner & Schermerhorn, 2004; Luthans, 2002a). It is equally possible for a school principal to use Psychological Capital to shape a positive culture within the school.

Principals must develop a culture where “the way we do things around here” is rooted in the norms and values of the organization (Kotter, 2012). Kotter explains the importance of making a conscious effort to show people how specific behaviors and attitudes can help improve performance. A strong culture is one where a group in an organization has a long, diverse, and intense history together, and this culture contains elements that are learned solutions to problems (Schein, 1984). The way in which people learn new solutions to problems not only shapes culture but also develops the organizational behavior. Leaders who use positive practices in showing support and positive regard for their employees by building mutual trust, providing recognition for achievements and contributions, and encouraging cooperation and teamwork have been successful in reducing stress and facilitating performance among employees (Yukl, 2008).

If implementing positive practices to cultivate a positive organizational behavior has been proven to work in corporations, then applying the same principles should also allow schools as organizations to flourish. It might greatly benefit building principals to learn from leaders in the business world who use state-like competencies such as confidence, hope, optimism, and resilience to focus on people’s strengths that shape a

positive organizational behavior and high performing system (Gardner & Schermerhorn, 2004; Nelson & Cooper, 2007).

Sampling

There are approximately 3,392 public schools in Illinois outside of the Chicago Public Schools system. The researcher requested participation from a total of 861 Illinois public school district superintendents outside of the city of Chicago. From that initial pool, 133 superintendents granted permission for the researcher to survey 564 possible principals in their districts in the state of Illinois. The researcher received permission from the superintendents by acquiring a signed Letter of Cooperation printed on district letterhead. Superintendents either scanned the signed letter on district letterhead and returned to the researcher via email or requested that a hard copy of the letter be sent to them via US mail. In this case, the researcher included a self-addressed stamped envelope in which to return the signed letter. This totaled a 15% rate of participation among superintendents. The study population included elementary, middle, and high school principals from public schools throughout various counties in Illinois. Of the 3,392 principals serving in Illinois public schools outside of the Chicago Public Schools system, 79 participated in Phase I of this research by completing the PCQ-24 online survey, allowing for a 2.3% participation rate among Illinois public school principals. Three participants completed the interview in Phase II of the research.

The sampling population involved Illinois public school principals outside of Chicago Public Schools, including those in rural and suburban areas. The first stage involved sending a copy of the validated PCQ-24 survey online to the Illinois public

school principals outside of the Chicago Public Schools system whose superintendents granted permission (N=564). Principals outside of the Chicago Public Schools system included any public school principals who are not employed by the City of Chicago and Chicago Public Schools.

The Illinois 5Essentials Survey finds its roots in the *My Voice, My School* survey that was developed for Chicago Public Schools through a partnership with the University of Chicago Consortium on Chicago School Research based on over twenty years of research in the Chicago Public Schools. The researcher's decision to exclude Chicago Public Schools from the survey data stems from the transition of the survey being used only in Chicago Public Schools to being implemented in public schools throughout the state of Illinois, as a result of an Illinois State Board of Education mandate (Senate Bill 7, PERA) that required schools to implement a learning conditions survey. This is not meant to discount the years of data that the Consortium on School Research has collected, but more so to look at the data through a fresh lens, beginning when the survey was implemented to collect statewide data. This, in some respect, levels the playing field for all Illinois schools new to the survey, so as not to compare it to schools which have used the data to improve instruction for years prior to statewide implementation.

The second stage of sampling included a sample of those who completed the initial Psychological Capital survey (N=76). The principals identified had served as principal for at least two years in the same school, so that previous year 5E data applied directly to their leadership tenure. All participants for the second stage of sampling needed to have Illinois 5Essentials Survey data pertaining to their school accessible to the

public. Finally, all participants for the second stage of sampling needed to agree to participation beyond the quantitative data collected from their Psychological Capital Survey.

The researcher completed a Freedom of Information Act request for Illinois school principal contact information from the Illinois State Board of Education (ISBE). The sampling frame included contacting the 564 Illinois public school principals for whom the researcher had permission to survey outside of the Chicago Public Schools system. The researcher asked these principals to participate in the first phase of the study, the Psychological Capital Questionnaire, via email. The researcher requested that the survey participants acknowledge whether they would be willing to be interviewed for the second phase of research with a semi-structured interview. The principals for the second stage of the mixed methods research would not only need to have high Psychological Capital based on the PCQ-24, but also have be willing to continue with the study. Those chosen represented schools with high Illinois 5Essentials results in the two categories of Effective Leaders and Collaborative Teachers. In essence, the researcher interviewed principals with high Psychological Capital and chose the top three that had high PsyCap scores and high 5Essentials data.

The sampling for this study was purposive. There are approximately 3,392 public schools outside of CPS in Illinois. The three principals who were considered for an interview in the second phase of the study have served for at least two years in the same school. From the initial phase of this study, the small group of three principals was selected based on the results of their Psychological Capital Questionnaire and their

related Illinois 5Essentials Survey rankings for Effective Leadership and Collaborative Teachers, which are the two components that contain data from teacher input on the survey. Essentially, principals with high PCQ-24 scores and high Illinois 5Essentials Survey ratings were interviewed to gain a deeper understanding of the relationship between Psychological Capital and school culture. Figure 8 illustrates the sampling frame for this study.

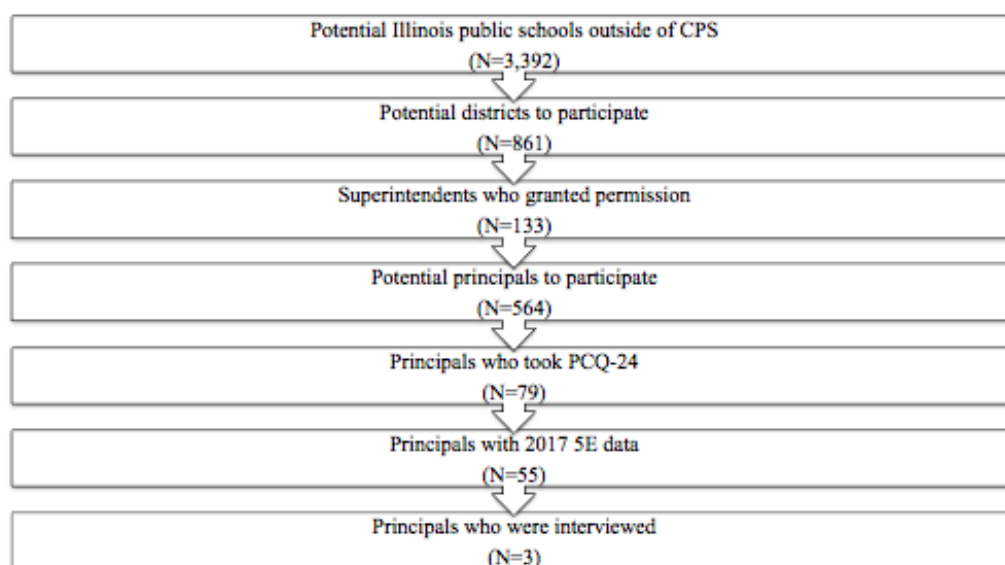


Figure 8. Sampling frame

Data Collection and Analysis

Phase I: Quantitative Measurement

Data for this explanatory sequential mixed methods study was collected in two phases. The researcher filed a Freedom of Information Act (FOIA) request from the Illinois State Board of Education to receive contact information for current school leaders. This FOIA request supplied the name and contact information, including name of school,

address, telephone number, and email address of the current superintendents and principals in all Illinois schools. Upon receipt of the contact information for school principals in Illinois and requesting permission from their superintendents, the researcher's sampling frame in this initial phase of the study included contacting the individual principals and requesting participation via email.

The quantitative portion of this study involved applying the Psychological Capital Questionnaire developed by Fred Luthans et al. (2007), which is specifically designed to measure the four components of Psychological Capital, namely hope, self-efficacy, resilience, and optimism. The instrument was comprised of six questions for each construct of PsyCap. The PsyCap Questionnaire is a collection of 24 statements that assess a participant's self-perception of his or her own PsyCap through his or her own work behaviors. Principals rated each statement on a Likert scale of 1 to 6, with 1 being "Strongly Disagree" and 6 being "Strongly Agree." Sample statements include, "I feel confident helping to set targets/goals in my work area" and "I can get through difficult times at work because I've experienced difficulty before."

At the end of the assessment, the researcher scored the questionnaire using the Psychological Capital Questionnaire Scales, and both the researcher and the participant received immediate scores via an emailed report for each of the four constructs of hope, self-efficacy, resilience, and optimism, as well as a total PsyCap score. Scores were averaged from a 6-point scale for each area. Scores ranged in each of the constructs from 3-6 and total PsyCap from 4-6.

Each year, public schools in Illinois are to survey teachers, students, and parents to collect information on the school culture and learning environment through the Illinois 5Essentials Survey or another measurement tool. Schools are then scored on their current state and their ability to implement measures for improved outcomes for student achievement. This information is made public through the Illinois State Board of Education. A small number of those who completed the PCQ and who had 2017 Illinois 5Essentials Survey data available from a sampling of Illinois public school principals was asked to participate in the second qualitative phase of the study. PsyCap is widely recognized through extensive research as a higher order positive construct (Luthans et al, 2015).

All data from Illinois principals willing to take the survey was collected and compared to their school's Illinois 5Essentials Survey and a regression analysis was performed to reveal the relationship between a principal's PsyCap and the school's Illinois 5Essentials Survey results in the domains of Effective Leaders and Collaborative Teachers. Teachers are surveyed in these two domains that assess the principal's leadership in establishing a positive culture. Principals who participated in the Psychological Capital Questionnaire received immediate results, regardless of further participation in the first or second phase of the study.

Phase II: Qualitative Measurement

Phase II, the qualitative phase of the research, consisted of a semi-structured interview with a small, purposeful sample of participants who were from the Illinois public schools, who have served as principal for at least two years, who had initial

PsyCap Questionnaire data, and whose school has public data from the 2017 Illinois 5Essentials survey. This interview approach allowed the researcher and the principal to engage in a greater in-depth discussion about the principal's own perception of the PsyCap states and their relationship to school culture. Creswell (2015) suggests that "if the intent of the design is for the qualitative data to explain the quantitative results, the individuals in the qualitative sample need to be drawn from the pool of participants in the quantitative sample" (p. 79). This participant sample was comprised of no more than three principals. The qualitative data was gathered using an open-ended interview design, and was digitally recorded and transcribed. To ensure internal validity of the interview responses, the research participants were able to read all interview interpretations before publication. According to Merriam (2009), participants should be able to suggest some minor alterations to better capture their perspectives (p. 217).

The goal of this research was to further understand the relationship of Psychological Capital states and a positive school culture, as measured by the Illinois 5Essentials Survey. An emphasis was placed on the patterns that likely emerged after the first quantitative phase of the research and into the second qualitative phase of research. Finally, the results from the two phases were integrated at the interpretation level of this explanatory design to mixed methods research. The results from the Illinois 5Essentials Survey data, PsyCap Questionnaire, and the semi-structured interview were connected and supported the outcomes of the research.

Summary

The researcher's goal was to present an effective research design that attempted to demonstrate how a leader's Psychological Capital positively influences a school's culture. Additionally, this study provided evidence to inform future research in the area of positive school culture as it relate to a principal's Psychological Capital. This study can expand to other educational leadership roles, such as district leadership roles like superintendent or human resources coordinator, or other building level leadership roles, such as assistant principal or department chair.

CHAPTER IV
PRESENTATION OF RESULTS

Introduction

The purpose of this chapter is to present the quantitative and qualitative data resulting from this study. These data attempt to answer the following research questions:

1. What is the relationship between a public school leader's Psychological Capital, related to hope, self-efficacy, resilience, and optimism, and a school's culture as measured by the Illinois 5Essentials Survey?
2. Which Psychological Capital attributes have the greatest influence on a school's culture?
3. What is the performance of the principals who have demonstrated high PsyCap, as measured by the categories of Effective Leaders and Collaborative Teachers on the Illinois 5Essentials Survey?
4. What other qualities contribute to effective leadership?

Organization of the Study's Results

Results are presented in two phases. The first phase contains quantitative data of Illinois principals' Psychological Capital (PsyCap) measured by a 24-question, Likert scale survey using descriptive statistics. In addition, it contains results from correlations between principals' total PsyCap score and each of its components relating to their school's culture, as measured by the 2017 Illinois 5Essentials Survey. The 5Essentials

Survey is a school culture survey that fulfills the ISBE mandate according to SB7, PERA. This section also presents results that relate to the predictability of PsyCap on 5Essentials survey data within two of the five categories, namely Effective Leaders and Collaborative Teachers. Furthermore, this first phase of data will include any emergent themes noted by the researcher and will pertain to research questions 1, 2, and 3. Finally, the second phase contains qualitative data in the form of interviews of three of the surveyed candidates. This interview data complements the quantitative data by providing a richer description of what qualities contribute to effective school leadership. This qualitative data will pertain to research question 4.

Methodology Summary

The research approach is that of an explanatory sequential mixed methods study. In this mixed methods research, quantitative data present as primary data, while qualitative data present as enhancement data. There are two phases to this research design. Phase I consists of a quantitative survey, using a proprietary measurement instrument called the “Psychological Capital Questionnaire-24” (PCQ-24). This research instrument consists of 24 questions that assess the four constructs of Psychological Capital of hope, self-efficacy, resilience, and optimism. The survey was administered and completed online by 79 identified Illinois public school principals. The data from the survey were collected via an online survey and entered into a spreadsheet created by the researcher. From there, the researcher transferred the data into the Statistical Package for the Social Sciences (SPSS) software Version 25 used for statistical analysis, including descriptive statistics and standard multiple regression analysis. Phase I also included correlations

between a principal's PsyCap results and his or her school's 2017 Illinois 5Essentials Survey data. The 2017 Illinois 5Essentials Survey data was retrieved from a Freedom of Information Act request through the Illinois State Board of Education (ISBE), but it is also made publically available on the Illinois 5Essentials website.

Phase II included qualitative interviews of approximately one hour with three participants, using an interview protocol designed by the researcher. The interviews served to complement the survey data and were designed to gain a better understanding of principals' leadership styles in schools with strong school culture, as identified by the 2017 Illinois 5Essentials Survey.

The researcher conducted a literature review of related research and theory in the areas of positive psychology, Psychological Capital, educational leadership, organizational behavior, and school culture. The results of this study will determine the relationship between a school leader's Psychological Capital and the school's culture. The results of this research may better educate school leaders on desired psychological states that potentially lead to a more positive and committed workforce. In addition, the results will inform district leaders on the human resource and psychological strengths of school leaders. This chapter presents a summary of data and results, including descriptions of the sample and the quantitative and qualitative data collection.

Population, Sample, and Participants

The researcher received permission from Mind Garden, Inc. on July 29, 2015 to administer the PCQ-24 for this research project. The researcher obtained a Freedom of Information Act (FOIA) request from the Illinois State Board of Education (ISBE) for a

contact list of Illinois superintendents and principals, which included name, district/school, address, phone number, and email contact information. The researcher sent the PCQ-24 survey via email to participants only for whom permission was granted by their superintendents. Included in the survey were general demographic questions, such as gender, age group, highest degree received, and Illinois County in which the principal worked. In addition, the survey included a question asking participants if they would also be willing to participate in a follow-up interview. Of the 564 principals who were sent the survey, 79 completed the PCQ-24 and all but 16 agreed to a follow-up interview, if needed. The researcher sent two reminder emails.

Initially, 79 participants completed the Psychological Capital Questionnaire survey. Of the 79 participants, three had fewer than two years' experience as a principal, and therefore were removed from the summary data, since the 2017 Illinois 5Essentials data would not reflect the school culture under their principalship. Descriptive statistics were used to report frequencies of the demographic information collected.

Frequencies tables were run in SPSS to analyze the sample population involved in the survey data. Of the 76 principals included in Phase I of the study, 54 were principals of elementary or middle schools and 22 were high school principals. Male participants made up 56.6% ($n=43$) of the sample population while females comprised 43.4% ($n=33$). Half of the principals surveyed had less than 5 years' experience in their positions. The ethnicity of the participants was mostly white ($n=68$), while there was a small representation from other ethnicities, such as Latino/a, Black, Asian, and one participant who declined to provide his or her ethnicity. Ages of participants fell within the ranges of

21-70 years of age, with the majority of participants falling within the age range of 41-50 years of age ($n=39$). Seventy-nine percent of participants had a master's degree, while 21% obtained a doctorate. Participants from 28 of the 102 Illinois counties were represented. Table 1 gives the demographic profile of the participants from the PsyCap survey data, and Table 2 displays the representation of the various Illinois counties where the principals work.

Table 1

Demographic Profile of Participants (N = 76)

Variable	Category	N	%
Gender	Male	43	56.6
	Female	33	43.4
Ethnicity	White	68	89.5
	Black	4	5.3
	Latino/a	2	2.6
	Asian	1	1.3
	Prefer not to say	1	1.3
Age	21-30	1	1.3
	31-40	16	21.1
	41-50	39	51.3
	51-60	19	25.0
	61-70	1	1.3
School Type	Elementary/Middle	54	71.1
	High School	22	28.9
Years Experience	2-5	38	50.0
	6-10	20	26.3
	10+	18	23.7
Highest Degree	Master's	60	78.9
	Doctorate	16	21.1

Table 2

Principal Representation by Illinois County (N = 76)

County	Frequency	Percent	Cumulative Percent
Champaign	1	1.3	1.3
Clinton	1	1.3	2.6
Cook	23	30.3	32.9
DuPage	6	7.9	40.8
Grundy	1	1.3	42.1
Henry	2	2.6	44.7
Jackson	1	1.3	46.1
Jefferson	1	1.3	47.4
JoDavies	1	1.3	48.7
Johnson	1	1.3	50.0
Kankakee	1	1.3	51.3
Kendall	3	3.9	55.3
Lake	9	11.8	67.1
LaSalle	2	2.6	69.7
Madison	3	3.9	73.7
McDonough	1	1.3	75.0
McHenry	2	2.6	77.6
Ogle	3	3.9	81.6
Piatt	2	2.6	84.2
Randolph	1	1.3	85.5
Richland	2	2.6	88.2
Sangamon	2	2.6	90.8
Stephenson	1	1.3	92.1
Tazewell	1	1.3	93.4
Warren	1	1.3	94.7
Wayne	1	1.3	96.1
Will	2	2.6	98.7
Winnebago	1	1.3	100.0
Total	76	100.0	

The demographic data highlight how survey respondents were primarily white educators with master's degrees with the largest representation working in Cook County. The survey data were mostly collected from elementary school principals. More than half of the principals surveyed were in the 41-50 year old age range. While half of the

respondents were newer to the position with five years or less experience, they have enough leadership experience in their position to be rated by teachers in the 2017 Illinois 5Essentials Survey. Therefore, the survey population is qualified to participate in this research.

In addition, the researcher obtained a FOIA request from ISBE on the Illinois 5Essentials Survey results for the years 2015, 2016, and 2017. The researcher used only 2017 Illinois 5Essentials Survey data to maintain consistency among participants, and data was missing for many of the schools in 2015 and 2016, as the survey data from the Illinois 5Essentials is not required to be collected annually. Of the 76 principals whose Psychological Capital Questionnaire data were collected and had a minimum of two years' experience as a principal, there were 55 schools for which data from the 2017 Illinois 5Essentials data were available. It is important to note that schools must have at least 50% of their teachers respond in order to receive a score report, and a minimum of eight responding teachers. This explains why some schools in this sample are missing 2017 5Essentials Survey data. In addition, as of the fall of 2016, 34 Illinois districts administered an alternate culture and climate survey (ISBE, 2017). These districts are listed in Table 3.

Table 3

Districts Administering an Alternate Culture/Climate Survey (ISBE, 2017)

School District	County
Antioch CCSD 34	Lake
Benjamin SD 25	DuPage
Bushnell-Prairie City SD170	McDonough
Carlinville CUSD #1	Macoupin
Community Consolidated School District 181	DuPage
Community Consolidated School District 93	DuPage
Dunlap SD #323	Peoria
Evergreen Park ESD 124	Cook
Fenton Community High School District 100	DuPage
Glenbard Township D 87	DuPage
Hinsdale Township High School District 86	DuPage
Homewood-Flossmoor CHSD 233	Cook
LeRoy CUSD #2	McLean
Marengo Community HSD #154	McHenry
Marquardt SD 15	DuPage
Mt. Vernon Township HSD 201	Jefferson
New Trier Township HSD 203	Cook
Oak Lawn CHSD 229	Cook
Orland School District 135	Cook
Pontiac Twp HSD #90	Livingston
Richland County CUSD #1	Richland
Riverside Brookfield Township HS District 208	Cook
Rochelle Township HS 2112	Ogle
Rock Falls Township HS 301	Whiteside
Sandwich CUSD # 430	DeKalb
Skokie SD 68	Cook
Stockton CUSD 206	JoDavies
Spring Lake CCSD 606	Tazewell
Sullivan CUSD 300	Moultrie
Township High School District No. 113	Lake
Township High School District No. 211	Cook
Township High School District No. 214	Cook
Woodland CCSD #50	Lake
Zion-Benton Township HSD 126	Lake

Phase I Results: Quantitative Data

Descriptive statistics and other data analyses were performed using the Statistical Package for the Social Sciences (SPSS) software Version 25. There were two sets of data analysis in Phase I of this research. The first consisted of correlations analyses on the four individual constructs within the principals' PsyCap scores as well as their total PsyCap score. The researcher tested for assumptions such as normality, linearity, and homoscedasticity and found no violations. The researcher performed a multiple regression analysis in Phase I, with the constructs within PsyCap acting as predictor variables and the two categories of Effective Leaders and Collaborative Teachers from the 2017 Illinois 5Essentials Survey acting as the criterion variables.

To answer the first research question, a series of preliminary analyses were performed on the survey data. Descriptive statistics were used to interpret the data for mean, standard deviation, and the distribution of the PsyCap subscores on continuous variables (skewness and kurtosis). The data for each of the subscores of efficacy, hope, resilience, and optimism show a moderate negative skewness with scores clustering in the higher values. However, none of the data presented were highly skewed. The following tables show results from Phase I of the total PsyCap questionnaire and the distribution of scores of the four individual components for hope, self-efficacy, resilience, and optimism.

Table 4

Descriptive Statistics of PsyCap Subscores

Descriptive Statistics									
	N	Minimum	Maximum	Mean	Std. Deviation	Skewness		Kurtosis	
	Statistic	Statistic	Statistic	Statistic	Statistic	Statistic	Std. Error	Statistic	Std. Error
Efficacy	76	4.2	6.0	5.491	.4324	-.831	.276	.043	.545
Hope	76	3.8	6.0	5.201	.5434	-.526	.276	-.327	.545
Resilience	76	3.0	6.0	5.021	.5884	-.794	.276	.811	.545
Optimism	76	3.5	6.0	4.926	.6176	-.312	.276	-.411	.545
Valid N (listwise)	76								

Responses for the PCQ-24 were scored on a Likert scale of 1 to 6. Of the 24 total questions, six questions referred to each construct. Participant responses included the following: 1-Strongly Disagree; 2-Disagree; 3-Somewhat Disagree; 4-Somewhat Agree; 5-Agree; 6-Strongly Agree. Scores were calculated by finding the mean of the responses to the six questions of each construct for a total score for each construct. Total PsyCap was calculated by finding the mean of all 24 responses. There were three questions that required reverse scoring: items 13, 20, and 23. The mean for Total PsyCap of all participants was 5.17. With scales of 1-6 for each construct, no participants scored in the 1-2 range for any of the constructs, therefore producing a skewness toward the higher scores.

Cronbach's Alpha

Cronbach's α coefficient confirms the reliability of the four core constructs. This ensures that the Psychological Capital Questionnaire (PCQ-24) is reliable and maintains internal validity within the sample population. Ideally, the Cronbach's α coefficient should be above .7 (DeVellis, 2003). The PCQ-24 showed good internal consistency, with a Cronbach α coefficient reported at .86 for total PsyCap and consistent results for

each construct with PsyCap (see Table 5). The four Psychological Capital core constructs of hope, self-efficacy, resilience, and optimism consisted of six items each on the survey.

Table 6 shows the Cronbach's α for the four core constructs were .796, .832, .829, and .804, respectively.

Table 5

Reliability Statistics of Total PsyCap

Reliability Statistics		
Cronbach's Alpha Based on		
Cronbach's Alpha	Standardized Items	N of Items
.855	.861	4

Table 6

Reliability Statistics per PsyCap Construct

Item-Total Statistics					
	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Squared Multiple Correlation	Cronbach's Alpha if Item Deleted
Efficacy	15.149	2.296	.680	.482	.832
Hope	15.438	1.947	.746	.589	.796
Resilience	15.618	1.930	.672	.466	.829
Optimism	15.713	1.785	.731	.566	.804

Research Question #1: What is the relationship between a public school leader's Psychological Capital, related to hope, self-efficacy, resilience, and optimism, and a school's culture as measured by the Illinois 5Essentials Survey?

Correlations

The next step in Phase I was to compare the PCQ-24 data of the 76 participants with the 2017 Illinois 5Essentials Survey data that was collected for the schools that the principals lead. This was done using Pearson correlation coefficient and multiple regression analysis. Of the 76 PCQ-24 participants, 55 of their schools had 2017 5Essentials Survey data available. To answer research question #1, the relationship between a principal's PsyCap and its components (as measured by the PCQ-24 survey) and school culture (as measured by the 2017 Illinois 5Essentials Survey data) was investigated using Pearson correlation coefficient. Preliminary analyses were performed to ensure no violation of the assumptions of normality, linearity, and homoscedasticity. The Pearson coefficient between total PsyCap and Effective Leaders was $r(55) = .125$, $p = .36$ and for Collaborative Teachers was $r(55) = .157$, $p = .25$. These results are displayed in Tables 7 and 8.

Table 7

Pearson Correlation Coefficient, PsyCap on Effective Leaders

Scale		Total PsyCap	2017 Effective Leaders
Total PsyCap	Pearson Correlation	1	.125
	Sig. (2-tailed)		.362
	N		55
2017 Effective Leaders	Pearson Correlation	.125	1
	Sig. (2-tailed)	.362	
	N	55	55

Table 8

Pearson Correlation Coefficient, PsyCap on Collaborative Teachers

Scale		Total PsyCap	2017 Collaborative Teachers
Total PsyCap	Pearson	1	.157
	Correlation		.251
	Sig. (2-tailed)		.55
	N		
2017 Collaborative Teachers	Pearson	.157	1
	Correlation	.251	
	Sig. (2-tailed)	.55	.55
	N		

While the Pearson correlation coefficient did not show a strong significance between total PsyCap and the two components of the 5Essentials survey relating to school culture, Effective Leaders and Collaborative Teachers, the data did indicate stronger correlations with individual core constructs within Psychological Capital.

Research Question #2: Which Psychological Capital attributes have the greatest influence on a school's culture?

The core constructs of efficacy, optimism, and resilience were not significant as predictors for the 5Essentials Survey. While efficacy, optimism, and resilience were not significant at the $p < .05$ level, Tables 9 and 10 show that hope does indicate a correlation significant at the $p < .05$ level with $p = .039$ related to the Collaborative Teachers category.

Table 9

Correlations of PsyCap Core Constructs with Effective Leaders

		Correlations					2017 Effective Leadership
		Efficacy	Hope	Resilience	Optimism	Total PsyCap	
Efficacy	Pearson Correlation	1	.628**	.595**	.550**	.796**	-.056
	Sig. (2-tailed)		.000	.000	.000	.000	.687
	N	76	76	76	76	76	55
Hope	Pearson Correlation	.628**	1	.562**	.711**	.860**	.200
	Sig. (2-tailed)	.000		.000	.000	.000	.144
	N	76	76	76	76	76	55
Resilience	Pearson Correlation	.595**	.562**	1	.601**	.824**	.114
	Sig. (2-tailed)	.000	.000		.000	.000	.407
	N	76	76	76	76	76	55
Optimism	Pearson Correlation	.550**	.711**	.601**	1	.868**	.113
	Sig. (2-tailed)	.000	.000	.000		.000	.412
	N	76	76	76	76	76	55
Total PsyCap	Pearson Correlation	.796**	.860**	.824**	.868**	1	.125
	Sig. (2-tailed)	.000	.000	.000	.000		.362
	N	76	76	76	76	76	55
2017 Effective Leadership	Pearson Correlation	-.056	.200	.114	.113	.125	1
	Sig. (2-tailed)	.687	.144	.407	.412	.362	
	N	55	55	55	55	55	55

** . Correlation is significant at the 0.01 level (2-tailed).

Table 10

Correlations of PsyCap Core Constructs with Collaborative Teachers

		Correlations					2017 Collaborative Teachers
		Efficacy	Hope	Resilience	Optimism	Total PsyCap	
Efficacy	Pearson Correlation	1	.628**	.595**	.550**	.796**	.096
	Sig. (2-tailed)		.000	.000	.000	.000	.486
	N	76	76	76	76	76	55
Hope	Pearson Correlation	.628**	1	.562**	.711**	.860**	.280
	Sig. (2-tailed)	.000		.000	.000	.000	.039
	N	76	76	76	76	76	55
Resilience	Pearson Correlation	.595**	.562**	1	.601**	.824**	.056
	Sig. (2-tailed)	.000	.000		.000	.000	.686
	N	76	76	76	76	76	55
Optimism	Pearson Correlation	.550**	.711**	.601**	1	.868**	.086
	Sig. (2-tailed)	.000	.000	.000		.000	.534
	N	76	76	76	76	76	55
Total PsyCap	Pearson Correlation	.796**	.860**	.824**	.868**	1	.157
	Sig. (2-tailed)	.000	.000	.000	.000		.251
	N	76	76	76	76	76	55
2017 Collaborative Teachers	Pearson Correlation	.096	.280*	.056	.086	.157	1
	Sig. (2-tailed)	.486	.039	.686	.534	.251	
	N	55	55	55	55	55	55

** . Correlation is significant at the 0.01 level (2-tailed).

* . Correlation is significant at the 0.05 level (2-tailed).

Multiple Regression Analyses

Next, a standard multiple linear regression analysis was calculated to look at the predictability of each PsyCap construct on two of the 5Essentials Survey categories, namely Effective Leaders and Collaborative Teachers, by using the independent variable of the participants' Psychological Capital results. Multiple regression is necessary to determine if a relationship exists between the combination of constructs within Psychological Capital and each of the outcome variables, or 5Essentials Survey data categories, used in this study. Multiple regression analysis is used to understand whether school culture can be predicted based on a leader's Psychological Capital or any of its constructs. In addition, it also allows the researcher to determine the overall fit of the model and the relative contribution of each of the predictors to the total variance explained. For example, the variance in 5Essentials Survey data can be explained by Psychological Capital as a whole, but also the relative contribution of each independent variable or in other words, each construct within Psychological Capital in explaining the variance.

The assumptions of multiple regression analysis are normality, linearity, homoscedasticity, and multicollinearity. Normality was screened through a normal probability plot in SPSS and showed that the residuals are normally and independently distributed. In other words, the differences between the predicted and obtained scores in the multiple regression analysis are symmetrically distributed around a mean value of zero, and there are no contingencies among the errors. Residual scatterplots were

examined and showed normality, linearity, and homoscedasticity. The residuals displayed to be nearly rectangularly distributed with a concentration of the scores along the center.

For the effect of the four PsyCap constructs of hope, self-efficacy, resilience, and optimism on 5Essentials Effective Leadership, a regression equation was found $[F(4, 50) = 1.456, p < .230]$, with an R^2 of .104. Predicted 5Essentials Effective Leadership is equal to $46.69 + 8.392$ (hope) $- 9.879$ (self-efficacy) $+ 2.882$ (resilience) $- .842$ (optimism). Both hope ($p < .082$) and self-efficacy (.068) were significant predictors of Effective Leadership, based on a $p < .1$ value. For the effect of the four PsyCap constructs on 5Essentials Collaborative Teachers, a regression equation was found $(F4, 50) = 1.574, p < .196$, with an R^2 of .334. Predicted 5Essentials Collaborative Teachers is equal to $26.080 + 12.769$ (hope) $- 2.357$ (self-efficacy) $- 1.613$ (resilience) $- 4.212$ (optimism). Hope ($p < .021$) was a significant predictor of Collaborative Teachers, based on a $p < .05$ value. The multiple correlation coefficient for PsyCap on Effective Leaders was $R = .32$ and $R^2 = .10$, suggesting that approximately 90% of the variance on Effective Leaders is not explained by the total PsyCap results from this sample. Similarly, the multiple correlation coefficient for total PsyCap on Collaborative Teachers was $R = .33$ and $R^2 = .11$, indicating approximately 89% of the variance on Collaborative Teachers is explained by other factors. These R^2 values indicate that the model is considered marginal. In other words, total PsyCap does not likely explain the variability of a strong school culture. Tables 11 and 12 describe the multiple correlation coefficient for total PsyCap on Effective Leaders and Collaborative Teachers, respectively.

Table 11

Multiple Correlation Coefficient, PsyCap on Effective Leaders

Model Summary ^b				
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.323 ^a	.104	.033	12.108

^aPredictors: (Constant), Optimism, Efficacy, Resilience, Hope
^bDependent Variable: 2017 Effective Leadership

Table 12

Multiple Correlation Coefficient, PsyCap on Collaborative Teachers

Model Summary ^b				
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.334 ^a	.112	.041	13.721

^aPredictors: (Constant), Optimism, Efficacy, Resilience, Hope
^bDependent Variable: 2017 Collaborative Teachers

In analyzing each of the independent variables on Effective Leaders and Collaborative Teachers using multiple regression, the largest beta coefficient (β) for the categories of the 5Essentials is hope for Effective Leaders ($\beta=.37, p=.082$) and for Collaborative Teachers ($\beta=.495, p=.021$). This indicates that hope makes the strongest unique contribution to explaining the 5Essentials data categories, when controlling for the variance by all other variables in the model. In analyzing the significance levels for each independent variable, hope's value of $p=.082$ for Effective Leaders makes a somewhat statistically significant contribution, along with efficacy, whose value is $p=.068$. These

values are below the $p < .05$ level, but in this study with a small sample size, it is critical to consider values that approach statistical significance at the $p < .10$ level. The same beta weight would likely be significant with a larger sample size. In Collaborative Teachers, hope's value ($\beta = .495, p = .021$) demonstrates a statistically significant unique contribution to the equation. If the statistical significance were set at the $p < .10$ level, which can be done for a smaller sample size, then hope does indeed make a statistically significant contribution in both analyses of Effective Leaders and Collaborative Teachers, as does efficacy in Effective Leaders ($p = .068$). Tables 13 and 14 demonstrate the beta weights and significance in the multiple regression analyses.

Table 13

Multiple Regression: Predicting Effective Leaders with PsyCap Constructs

Model		Coefficients ^a				
		Unstandardized Coefficients		Standardized Coefficients		
		B	Std. Error	Beta	t	Sig
1	(Constant)	46.690	21.283		2.194	.033
	Efficacy	-9.879	5.296	-.347	-1.865	.068
	Hope	8.392	4.732	.370	1.774	.082
	Resilience	2.882	3.830	.138	.752	.455
	Optimism	-.842	4.051	-.042	-.208	.836

^aDependent Variable: 2017 Effective Leaders

Table 14

Multiple Regression: Predicting Collaborative Teachers with PsyCap Constructs

		Coefficients ^a				
Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig
		B	Std. Error	Beta		
1	(Constant)	26.080	24.119		1.081	.285
	Efficacy	-2.357	6.002	-.073	-.393	.696
	Hope	12.769	5.362	.495	2.381	.021
	Resilience	-1.613	4.341	-.068	-.372	.712
	Optimism	-4.212	4.591	-.186	-.917	.363

^aDependent Variable: 2017 Collaborative Teachers

To further support the predictability of both hope and efficacy on Effective Leaders and hope on Collaborative Teachers, the Part correlation coefficients indicate that these constructs contribute to the total R-squared. In other words, it shows that hope has a unique contribution of 6% on Effective Leaders and 10% on Collaborative Teachers, and efficacy has a significant contribution of 6% on Effective Leaders.

Research Question #3: What is the performance of the principals who have demonstrated high PsyCap, as measured by the categories of Effective Leaders and Collaborative Teachers on the Illinois 5Essentials Survey?

Table 15 shows the principals with the highest PsyCap scores. Of the top ten principals with the highest total PsyCap scores, their 5Essentials scores varied in both categories with no emerging trends or correlations to their high PsyCap score relative to the 5Essentials category ratings for their schools. Two of the three principals the

researcher interviewed in Phase II of this research appear in this list, having high total PsyCap scores and high 5Essentials scores in both categories.

Table 15

Top Ten Principals with Highest Total Psycap Scores

Efficacy	Hope	Resilience	Optimism	Total PsyCap	5E Effective Leaders	5E Collaborative Teachers
6.	6.	6.	6.	6.	52.	63.
6.	6.	6.	6.	6.	43.	68.
5.8	5.8	5.7	5.7	5.8	22.	35.
5.5	6.	5.7	5.7	5.7	69.	64.
5.7	6.	5.7	5.3	5.7	72.	80.
6.	5.7	5.	6.	5.7	54.	56.
5.8	5.5	5.7	5.7	5.7	25.	23.
5.8	5.7	5.5	5.5	5.6	51.	53.
5.5	5.7	5.3	5.8	5.6	60.	54.
6.	5.8	5.5	5.	5.6	51.	56.

Summary of the Quantitative Results

A few observations emerged from the first phase of this research. A principal's Psychological Capital as a whole did not show to have a significant contribution to the school culture. However, given the small sample size, hope and self-efficacy as core constructs present themselves to be significant at the $p < 0.1$ level for Effective Leaders and hope is significant for Collaborative Teachers at the $p < .05$ level. Overall, participants rated themselves the highest in self-efficacy and lowest in optimism. The rank order of the PsyCap states for this group of leaders at baseline is listed in Table 16.

Table 16

Mean Participant Self-rating of Core Constructs

	Minimum Statistic	Maximum Statistic	Mean Statistic
Efficacy	4.2	6.0	5.491
Hope	3.8	6.0	5.201
Resilience	3.0	6.0	5.021
Optimism	3.5	6.0	4.926

While self-efficacy is shown to be valued in a principal's self-reported PsyCap, hope is the construct that demonstrates itself to be the strongest in terms of predicting a school's positive school culture via the two 5Essentials Survey categories of Effective Leaders and Collaborative Teachers.

Phase II Results: Qualitative Data

The researcher selected three participants from the total sample of 55 principals to be interviewed, whose results were among the highest in both categories of the 5Essentials and whose overall PsyCap scores were between 4.9 and 5.7. The interview protocol was designed to elicit further explanation regarding the participants' perspective of the ways in which their Psychological Capital and other leadership behaviors contribute to a successful school culture. The participants were asked 11 questions pertaining to their PsyCap results and experiences that they perceived to have developed their effective leadership qualities.

The three interview participants were contacted via email and a mutually convenient time and location was scheduled for the semi-structured interview. The

researcher received permission via a Letter of Consent from each participant for the interview to be audio recorded. All audio recordings were transcribed by Rev.com and were then sent to the participants for approval. All identifying information has been made confidential.

Principal A has been a principal of a small rural elementary school in southern Illinois for over 10 years. She is a white female, in the 41-50 year old range, with a doctorate. Principal B is a white, male principal with a doctorate of a middle school in the Chicago suburbs. He has been a principal for less than five years and is in his 30s. Finally, Principal C is a white female who has been the principal of an elementary school in the Chicago suburbs for less than five years. She has a master's degree and is in her 40s. Table 17 describes the three principals who were interviewed in Phase II of this study.

Table 17

Phase II Principal Profile

Principal	Gender	Ethnicity	School Type	Location	Years in Position	Highest Degree	Age
A	Female	White	Elementary	Southern Illinois	10+	Doctorate	41-50
B	Male	White	Middle	Chicago Suburbs	2-5	Doctorate	31-40
C	Female	White	Elementary	Chicago Suburbs	2-5	Master's	41-50

Other Effective Leadership Qualities

Research Question #4: What other qualities contribute to effective leadership?

The researcher conducted three semi-structured interviews with principals who had the highest 5Essentials Survey results in Effective Leaders and Collaborative Teachers and then who also had the highest Psychological Capital scores. The researcher asked principals about their PsyCap results as well as their general leadership style and qualities.

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

Principal A and C described their leadership style as servant leadership, with Principal C saying, “we’re kind of all doing it together” and that “I am here for whatever their needs are so that they can do their job and not have to worry” about other things. Principal A mentioned that “whatever I can do to help them keep that peace, service-wise” as being important in leadership. Principal B noted that his leadership style is one of collaboration, and along with the idea that leaders must have the “understanding the job is much bigger than them.”

Interview Question #2: What are your impressions of your Psychological Capital survey results?

Subquestion a: What parts of the survey and/or your results surprised you?

Both Principals A and B were not very surprised with the results. Principal C was surprised by “the whole thing” because she was very interested in learning something new about herself, but viewed it as something that she can work on to grow as a leader. All three principals noted that they were somewhat surprised about their lowest scores.

Principal A thought resilience would in fact be lower and Principal B thought optimism would be higher. Principal C was glad that the researcher provided definitions for self-efficacy and optimism, which were her lowest scores.

Subquestion b: Would you agree to your strengths that were identified by the Psychological Capital survey?

All three principals agreed with their highest construct, which was hope. Principal A mentioned that hope allows her to provide honest feedback, Principal B mentioned the importance of having hope in his students and staff and “the important work we do.” He mentioned that it contributes to a climate of collaboration and working together. Principal C mentioned that the people she works with would say “I’m the silver lining person, and I guess that comes through in my work every day.”

Subquestion c: Would you agree to your areas for growth that were identified by the Psychological Capital survey?

When asked about areas for growth, Principal A agreed with self-efficacy as being an area to improve, but also thought that resilience would be her biggest area for growth. Principal B did not agree with his lowest score of optimism, mentioning that he thought hope and optimism would be more closely linked.

Interview Question #3: In your opinion, what personal or professional experiences have led to your development of Psychological Capital?

All three principals mentioned that they attribute their success to the support they have received from others or because of the great work of others. Principal A mentioned that she has “worked under a superintendent who really allowed me to fail if I needed to,

to try new things” and that she has supportive people around her. Principal B discussed the idea of leading from behind and looking for opportunities to allow others to shine or be part of the decision-making process. Principal C recounts that she has always had great leaders “who trusted the staff, who worked alongside of us in the trenches.” Principal C added that her personal upbringing contributed to the development of Psychological Capital.

Interview Question #4: If you were to take the Psychological Capital survey when you first started your role as a principal, do you think your score would have been the same? Why or why not?

Principal A did not think that her scores would be the same in the past as in the present. She mentioned that early in her career, she did not “feel competent to make decisions like I do now.” Principal B mentions the idea of having more experience contributing to a possible different score at the beginning of their career. “I would assume probably optimism would have been higher at the beginning, because of course, once anything's brand new, everything is about what you can do with it. So maybe that's a little bit of realism that comes with the optimism being a little bit lower.” However, Principal B also mentions that his other scores would be just as high because that is just how he is as a leader and as a person. Principal C thought her scores would have been similar because of who and what has shaped her leadership in the past, or in other words, the influences on her career.

Interview Question #5: Why do you think Psychological Capital is important for school leaders?

Principal A and B both thought the constructs within Psychological Capital are critical attributes that leaders need to have. Principal C looked at the results as more of a way to build upon strengths that she already knew she had and build upon them. Principal C also thought PsyCap was necessary to stay positive in her work.

Interview Question #6: Of your four states of Psychological Capital - self-efficacy, hope, optimism, or resilience, which one do you think has had the most impact on your school's culture and how?

Principal A thought resilience was important as well, but that hope and self-efficacy were vital in impacting school culture, because "there is a lot to be said about just positive energy with everybody." Principals B and C both thought resilience had the most impact on their school's culture. Principal B mentioned the fact that there is a negative bias toward education, with mandates and bad publicity about teachers and discusses that a principal's job is to help stakeholders understand the purpose. Principal C again mentioned their personal experience during childhood and staff members who are dealing with "horrible things going on in their personal lives" as contributing to the importance of resilience.

Interview Question #7: In what way do you believe a leader's Psychological Capital can positively influence a school's culture?

Principal A again mentioned positivity and added that one needs to know what they are talking about. "If there's a bad attitude, I don't think you're going to get follow

through from the staff.” Principal B believes that a school staff models what they do after what they see in a leader, and a few key players can change a school culture. Principal C mentions that people know that their principal is positive and always looking for the good in every situation. All three principals agree that the principal is vital in positively influencing a school’s culture, and much of that has to do with their positive attributes.

Interview Question #8: Do you have anything else to share about your leadership capacities, your role as principal, or your influence on the school culture?

Principals A and B discussed the power of strong relationships in impacting school culture. Principal A, who is in a small school, told how she knows everyone in the school and the community, and how important that is that everyone has access to the principal. Principal B talked about how the staff works hard to build community, and that “we’re a family that works through things together, and there’s challenges that come along in part of every family.” Principal C again mentioned her childhood and upbringing, and that one brings to work the personal influences and experiences with them, which shape a person as a professional.

Interview Question #9: What other qualities contribute to effective leadership?

Principals B and C both mentioned lifelong learning in order to develop as an effective leader. Principal B stays current with educational trends, and Principal C relies on professional development and education. Principal A discussed the idea of being present and developing relationships as being key.

Summary of the Qualitative Results

The three principals who were interviewed all suggested that their Psychological Capital contributed in some way to their leadership and to the school's positive culture, but also attributed other factors in common. They all had a high regard for their school community and the relationships that they have developed with teachers and staff. Based on their responses, these leaders believe that they need to be present, work alongside teachers as servant leaders, and remain positive. They all alluded to the idea of distributed leadership, allowing others to lead and be part of the decision-making process. Other factors that contributed to their perceived positive, effective leadership were continued learning, the growth that comes with experience and situations in which to make decisions, and not being too far removed from teachers and students.

CHAPTER V

FINDINGS

Introduction

This chapter highlights the major findings of this study of the relationship between a school principal's Psychological Capital with his or her school's culture and how it can positively influence an organization's culture through a human resources lens. The purpose of this study was to explore how Illinois school principals use the four higher order core constructs of Psychological Capital, namely hope, self-efficacy, resilience, and optimism, both collectively and individually, to influence a positive school culture. Additionally, the researcher also addresses theoretical and practical implications from the study and specifies limitations.

Research Questions

This study addressed the following research questions:

1. What is the relationship between a public school leader's Psychological Capital, related to hope, self-efficacy, resilience, and optimism, and a school's culture as measured by the Illinois 5Essentials Survey?
2. Which Psychological Capital attributes have the greatest influence on a school's culture?

3. What is the performance of the principals who have demonstrated high PsyCap, as measured by the categories of Effective Leaders and Collaborative Teachers on the Illinois 5Essentials Survey?
4. What other qualities contribute to effective leadership?

Discussion

In the corporate world, a leader's Psychological Capital has been shown to have a positive effect on organizational behavior (Gardner & Schermerhorn, 2004; Luthans, 2002a) when assessed with the Psychological Capital Questionnaire. The aim of this study was to discover the influence of a principal's Psychological Capital on his or her school's culture. In this chapter, the researcher relates interpretations of findings based on both the quantitative and qualitative data analyses presented in Chapter IV. Common elements between principals' Psychological Capital and factors contributing to a positive school culture are explored and connected to current research in the field. These broad interpretations segue into implications for the field of educational leadership and positive organizational behavior, as well as specific suggestions for leaders who wish to improve their Psychological Capital. The researcher also prepared a description of the strengths and limitations of the study, and in closing, discuss future directions in research in the area of positive Psychological Capital in educational leadership.

Leader Psychological Capital and School Culture

The researcher hypothesized that there would be a strong positive correlation, as has been shown in many studies in corporate environments, between a principal's PsyCap scores and the organization's culture, as measured by the Illinois 5Essentials Survey. In

the quantitative data analyses, the researcher discovered from the sample population that Psychological Capital was self-reported very highly by the majority of the participants, with total PsyCap ratings ranging from 4.0 to a perfect 6.0. This produced a negative skewness, with the mass of the distribution concentrated on the right in histograms created in SPSS for each construct within PsyCap and the total PsyCap as well. Often, participants who volunteer for human subject surveys, perceiving themselves to be very positively rated in their responses, can lead to a set of scores ranging at the higher end, thus producing a negative skewness.

However, when compared to the 2017 Illinois 5Essentials Survey results in the two domains of Effective Leaders and Collaborative Teachers, results varied and the research hypothesis was not supported. The Pearson coefficient between total PsyCap and Effective Leaders was $r(55) = .125, p = .36$ and for Collaborative Teachers was $r(55) = .157, p = .25$. These p-values indicate minor correlation between PsyCap and the 5Essential domains (Cohen, 1988). The p-values did not clearly indicate statistical significance, as the total PsyCap p-value is not below the $p < .05$ standard. Significance is largely due to sample size. Because the sample size was only 55 in this study, this helps to explain the minor significance of the effect of total PsyCap on the 5Essentials domains. With a larger sample size, this p-value would likely demonstrate greater significance between total PsyCap and the 5Essentials domains of Effective Leaders and Collaborative Teachers. The p-value is much lower for total PsyCap than any of the individual constructs in PsyCap, with the exception of hope in both 5Essentials domains.

The correlation between each of the four subscales of hope, self-efficacy, resilience, and optimism and the two domains of Effective Leaders and Collaborative Teachers in the 5Essentials Survey was also compared. As previously mentioned, the study demonstrated minor significance between total PsyCap and each of the 5Essentials domains. Additionally, the study did not support a strong correlation with the individual constructs of resilience or optimism and school culture as defined by the 5Essentials survey. These were the two constructs that participants self-rated the lowest, with self-efficacy and hope self-rated as the highest. When a multiple regression analysis was run in SPSS, there was statistical significance with the core construct of hope on 5Essentials Collaborative Teachers ($p=.021$). This study does not concur with prior studies in the corporate world with larger samples sizes. However, with this small sample size of 55, if the significance level were set at $p<.1$ instead of $p<.05$, moderate significance is demonstrated between both hope ($p=.082$) and self-efficacy ($p=.068$) and the Effective Leaders domain. Future research of leader PsyCap on school culture with a larger sample size is recommended.

Dominant Psychological Capital Core Constructs

Hope emerged as a leading core construct impacting school culture and effective leadership in this study. Although Luthans et al. (2015) argue that total PsyCap “better predicts desired outcomes than each of its four individual components” (p. x) in the corporate setting, this study demonstrates that, of the four constructs of Psychological Capital, a leader’s hope is most impactful on organizational culture in an education setting. All three principals interviewed in Phase II of this study scored highest in the area

of hope on the PCQ-24 and their schools were among the highest in the 5Essentials Survey data. This distinguished them from principals who scored high in PsyCap and whose schools had lower 5Essentials Survey data, and also from schools that had high 5Essentials data but whose leaders' hope score was not the highest of the four constructs. All three principals agreed with hope as being their strongest among the Psychological Capital constructs, particularly mentioning how it impacts collaboration and their relationships with others. To echo Principal C, she noted that she was “the silver lining person, and ... that comes through in my work every day.” According to Snyder, Cheavens and Sympson (1997), high hope people seem to establish positive relationships with others and serve to make a group more productive.

Hope, studied famously by Rick Snyder, and a phenomenon within positive psychology and Psychological Capital, holds as a central tenet the ideas of willpower and waypower (Snyder et al., 2002), or the will and the way of setting goals and designing a path to achieve them. The three principals interviewed described themselves as goal-oriented leaders who engaged others in a shared leadership model that increased collective capacity via strong relationships. Relationships were described as vital for effective leadership and school culture for all three principals. Capps (2001) also notes that hope

requires relationships and that people in these relationships believe the future is unlimited and malleable. Furthermore, these people believe relationships create forums where high ideals are valued and discussed and help generate an emotionally supportive environment for positive and caring action. (p. 58)

Principal A thought the most impactful construct for her was hope and said, “there’s a lot to be said about just positive energy with everybody” and that if a leader is negative, “nobody is going to want to follow that leader.” Capps (2001) also adds “leaders who can create cultures where learning and hope are entwined enrich the lives of children, their schools and their communities” (p. 58).

While hope emerged as a construct most strongly impacting school culture, principals rated themselves the highest overall in self-efficacy ($m=5.5$) and hope second ($m=5.2$). This demonstrates that the principals in this sample were confident in their psychological capacities. Collective efficacy seems to be just as important as self-efficacy. What stands out in the qualitative data from the interviews is that the principals implied that they fostered a collaborative culture, where collective efficacy was evident. Principal B states, “I’m a confident leader, but I’m also, as I said, a collaborative leader, and I think that I have a thorough understanding of all the players that are part of what make a school great.” He adds that he likes leading from behind, allowing others to enjoy the spotlight, and finding opportunities where others can positively contribute and take the lead.

With hope and self-efficacy being the most prominent constructs in this study, all of the individual constructs of PsyCap were described in some way in the qualitative data. Although the principals may not have explicitly named PsyCap or its individual constructs as the reasons for their strong school cultures, it was implied in their comments.

Leaders with High Psychological Capital

The principals with the highest Psychological Capital scores did not necessarily have the highest Illinois 5Essentials Survey scores. The University of Chicago Consortium on Chicago School Research (2015), in its 5Essentials Survey, defines Effective Leaders as principals working with teachers to implement a clear vision for success and believes that the Effective Leaders domain is the catalyst for school improvement, with the leader serving in a role that stimulates and supports the development of the other four domains in the 5Essentials Survey, including the domain of Collaborative Teachers. While principals with high PsyCap scores perceived themselves high in Psychological Capital, the teachers in their schools did not necessarily rate them high in leading a strong school culture. Conclusions cannot be made that scoring well on the PsyCap survey relates to high results in the 5Essentials Survey. Principals can have high PsyCap but moderate to low 5Essentials data, and vice versa. This implies that there are other factors that contribute to strong leadership and school culture development. The principals who were interviewed described a few of these additional leadership qualities.

Effective Leadership Qualities

The principals interviewed described their leadership style as “servant leadership” or collaborative in nature, with a focus on developing strong relationships as impactful in strong school culture. This collaborative, servant leadership style seems to foster strong relationships and trust, which in turn encourages people to work together to achieve the school’s vision and mission. The principals have a great deal of trust in their teachers and communities and are committed to the success of their organizations. Principal A, leader

of a small school in a rural town, says, “I know everyone very well so I think that makes a big impact.” Principal B commented on how the staff works hard to build community, and it is important that he maintain a positive outlook. He believes the building principal is responsible to set that tone and has seen positive cultures change with a new leader. He thought it was critically important to ensure that the experience for a person, whether a student, teacher, parent, or community member, upon entering the school building, is welcoming and a positive experience.

Another quality the principals talked about was the importance of continued professional learning in their practice as well as learning from their experiences. Principal C said her “personal upbringing and the influences that you’ve had and the experiences that you’ve had, whether personal or professional” influence leadership and school culture. She also enjoys the fact that she can choose her own professional development and allow her teachers to do the same. She thought it important for leaders to “sharpen their saw on what they think they need help on or support on or to build upon.” Principal B said it was important to stay current in the field and model lifelong learning to his teachers and students. He mentioned hiring a new assistant principal this year, with whom he has frequent meetings about developing leadership.

Finally, the principals in their interviews suggested that having great leaders to learn from is vital to the position. Principal A commented about a superintendent for whom she worked “who really allowed me to fail if I needed to, to try new things. He was always really supporting.” Principal C talked about leading from example in her interview. “I have been so lucky. I’ve always had great leaders. Which is probably what

feeds into my whole...to lead by example, because I guess, when I am forced to think about it I probably am being them.” The principals take their role as building leader seriously and know that their attitudes and behaviors can shapes those of the staff and students.

Adaptive Leadership

While none of the three principals explicitly stated they practiced an adaptive leadership style, this concept emerged in the researcher’s meta-inferences after the quantitative and qualitative data analysis in this mixed methods research design. According to Teddlie and Tashakkori (2008), a meta-inference is “an overall conclusion, explanation or understanding developed through an integration of the inferences obtained from the qualitative and quantitative strands of a mixed methods study” (p. 101).

Snyder et al. (2002) suggest that hope is a combination of agency, or willpower, a thinking state in which individuals set challenging but realistic goals and expectations for themselves and then use a self-directed determination to achieve those goals and pathways, or waypower, people’s ability to generate alternative paths to their desired goals if they encounter obstacles to their original. Some of the approaches that Luthans et al. (2015) suggest in developing and sustaining hope include goal setting, rituals or habits, involving and empowering employees, strategic alignment, and training. According to Snyder (1994), people feel more able to shape their futures when they score highly on both willpower and waypower. The three principals interviewed all had the highest scores in hope, and the researcher believes it to contribute to the strong culture evident in their buildings. Because PsyCap hope was the construct most strongly related to 5Essentials

school culture, the researcher aligned these qualities with those of an adaptive leader, characteristics of which all three principals demonstrated. Table 18 describes the connection among hope as a construct explained by Snyder et al. (1991), adaptive leadership as a framework developed by Heifetz et al. (2009), and the qualitative data from the principals interviewed in this study. All three areas demonstrate positive culture-shaping efforts in a complex organization during challenging times.

Table 18

Culture Shaping Efforts: Hope, Adaptive Leadership, 5Essentials, and Principal Data

Hope^a	Adaptive Leadership^b	5Essentials School Survey^c	Qualitative Principal Data
<i>“a positive motivational state that is based on an interactively derived sense of successful (a) agency (goal-directed energy) and (b) pathways (planning to meet goals)”</i>	<i>“the practice of mobilizing people to tackle tough challenges and thrive”</i>	<i>Framework based on five key concepts in school improvement and strong culture</i>	
Willpower <i>Agency; Desire to take action</i>	Diagnose and take action Inspire people by speaking from the heart	Effective leadership Collaborative teachers	A: I feel competent to make decisions now. A: Be positive and know what you’re talking about. B: I’m energized by coming to work. B: If you’re not hopeful, people feel that. C: I’m the silver lining.
Waypower <i>Developing options for pathways to desired goals, cope with barriers and delays, promote new pathways</i>	Adaptive solutions involve finding new strategies and abilities New norms for different challenges Adaptive challenges require innovation and new learning	School improvement Program coherence	A: They’ve embraced changes; they’ve allowed us to try. A: When people see me, they think she knows what she’s talking about. A: As a school leader, coming at it from different angles is really important. B: Together, you can always solve a problem. B: We’re in the midst of really something ugly, in the end it

			always works itself out if you remain grounded in your thinking. B: We've had our share of challenges, but I don't dwell on the negatives.
Goal setting <i>Expectations of self; Internalized; Committed; Self-regulated</i>	See yourself as the system Stay connected to purpose	Principal works with teachers to implement a clear and strategic vision for school success High standards for teaching and learning	A: I can always improve. A: It's important to take care of oneself. B: The most important role of a leader is to understand the job is much bigger than them. B: Always be hopeful on why we do something and the purpose behind it. B: Without purpose, change is change for the sake of change. C: If anything good happens, it's in my control. C: You bring (personal upbringing) to work with you
Rituals <i>Focus on what is important, help people stay committed to the goal while conserving mental and physical energy</i>	Rituals, group norms, and protocols Nurture strengths	Beliefs and values that reflect teacher responsibility for change Teacher commitment	A: I serve all the time. I'm at the door every day. B: I value people and the work that people do. B: We work hard to build that community. C: I'm here to give them what they need C: They're all being supported with each other C: I feel I'm a resource for the teachers.
Involvement <i>Autonomy, empowerment, engagement by getting employees involved</i>	Engage others to preserve values, make use of human capital Distributed leadership Shifting authority and responsibility to those affected Strong relationships	Nurture social relationships embedded in everyday work of the school Teacher influence and involvement Teacher-Principal trust	A: My job is to help everyone else do their job effectively. A: I am very good at following through. B: An understanding of the inner workings of relationships is the foundation of everything. B: Lead from behind. B: Always looking for opportunities to bring others into the decision-making process. B: I need to have a strong team of people working together. C: I've always had great leaders. C: It's really important when people are learning to lead
Resources <i>Setting priorities and allocating resources</i>	Make use of human capital Focus on organizational	Focus on quality of human resources Coordinated curricular and	A: I think feedback is key in the organization. B: I have a thorough understanding of all the players that are part of what makes a

	strengths to thrive	instructional resources	school great. C: I'm here for whatever their needs are
Strategic Alignment <i>Strategic leadership, focus on employees' talents and strengths</i>	Learn the organization's strengths and weaknesses	Requires a strategic approach toward enhancing performance	A: No one's going to follow that negative leader or believe whatever strategy. A: Servant-type style leadership. B: Looking at how we can grow and improve B: I'm a confident leader. C: Leading by example C: Servant leadership C: This is what I know I'm good at.
	Expend non-essentials	Staff is committed	C: Let's look at the positive first. I'm looking for the good.
	Nurture strengths	Individual and collective efficacy and growth	
	Courageous leadership		
	Get on the balcony		
Training <i>Hands-on, interactive, participative training</i>	Innovation and new learning	Quality professional development	A: I do think a leader needs to have positive qualities and teach your staff to have those attributes. B: Staying current and relevant is important. B: Modeling lifelong learning. C: Model the same experience for others. C: I choose my own PD.
		Relevant PD	

^a Snyder, Irving, & Anderson (1991).

^b Heifetz, Grashow, & Linsky (2009).

^c University of Chicago Consortium (2015).

Limitations of the Study

This research study is subject to a number of limitations imposed by the research design, the researcher, and time constraints.

1. Sampling limitations impacted the sample size in the study. The limited sample size is due to several factors, including limited superintendent permission to participate, limited participation from approved principals, limited 2017 5Essentials data, and limited qualitative interviews.
2. A final sample size of 55 creates limits on the multiple regression analysis and resulting statistical significance. Sample size ideally should be $N \geq 50 + 8m$

where m is number of independent variables (Pallant, 2013). With a larger sample size or more complete data for the schools in this study, the data may have shown stronger relationships. Results should be considered with caution.

3. A response bias may exist with those who were highly motivated to answer survey questions about Psychological Capital may have been the ones who did so.
4. The researcher's own positivity bias should be taken into consideration. The researcher has a deep interest in positive psychology and regularly practices ways to reduce negativity bias and increase positivity bias, such as mindfulness, gratitude, kindness, and happiness practices.

Implications for Practice

Vince Lombardi's famous quote that "leaders are made, they are not born" supports the idea that leadership qualities can be learned and developed. Psychological Capital has also been researched as open to development and malleable (Allen, 2015; Luthans et al., 2007; Luthans et al., 2015). The researcher presents several implications to the education field as a result of this study.

1. Because Psychological Capital has been shown to be an asset, along with human and social capital, district leaders should consider a way to assess this form of capital when interviewing and hiring potential school leaders.
2. The researcher has demonstrated that organizations require a strong influential lifelong leader who will positively influence staff toward a collective vision of achievement through Psychological Capital strengths, such as hope. Education

can be a stressful profession, and a positive approach is necessary to counter the negative constructs in schools today. However, being an adaptive leader in today's uncertain every-changing environment bridges the gap between theory and practice, and can combat work overload, teacher stress, and burnout.

3. It is important to consider multiple capacities in the field of human resources and to understand that leaders can be made from many different molds, based on their growth, development, and experiences. Leaders that demonstrate Psychological Capital qualities, especially hope, can have a dramatic impact on the organizational culture. A strong organizational culture can lead to increased job satisfaction and well-being in the workplace, as well as collective capacity in organizational performance.
4. Organizations are social systems, and the importance of strong relationships can be underrated. School leaders should consider human relations and a positive work environment one of their greatest goals.
5. Districts should consider making leadership development in positive psychology, Psychological Capital, and adaptive leadership a priority, by providing district and building leadership the opportunities for growth and development in leadership capacities. Psychological Capital and adaptive leadership are not mutually exclusive, but complementary leadership styles.

Future Directions in Research

The results from this study suggest several areas for future research. They include:

1. Replicate this study with a larger sample size of Illinois principals, including principals from Chicago Public Schools, where the 5Essentials Survey originated.
2. Replicate this study with Illinois district leaders, such as superintendents, and use district level 5Essentials Survey data.
3. Replicate this study with a teacher version of the Psychological Capital Questionnaire, where the same questions were asked about their principal, rather than using the 5Essentials data.
4. This study discovered a principal's hope to be impactful on school culture. Further exploration of this individual construct in relation to leadership and school culture would be helpful to the profession.
5. Further exploration of school leaders on the disconnect between high Psychological Capital but low 5Essentials scores in Effective Leaders and Collaborative Teachers.
6. More studies including the impact of Psychological Capital in the education field, include the PsyCap of teachers and its impact on classroom culture.
7. Future research on the outcomes of implementation of interventions that increase PsyCap in education leaders.

Concluding Remarks

Schools are often defined by the academic success of their students and the school climate or culture. Strong academics and school culture are not phenomena that happen by chance. The researcher of this study was interested in exploring leader PsyCap and how it influences school culture. It is important to understand that school culture can be influenced by many factors within the principal's control. There are unique challenges in every school, but the researcher believes that a positive, hopeful school leader who brings out the strengths in others will be able to transform a school's culture to one where students, faculty, parents, and community members can be proud. A principal who continues to learn, develop, and build on his or her strengths will have a positive influence on school culture, making school an enjoyable place to be for faculty and students. A school leader is key in building a positive school culture, where administrators, staff, and students share a sense of purpose and commitment to improving student achievement.

APPENDIX A

FREEDOM OF INFORMATION (FOIA) REQUEST FOR ILLINOIS
SUPERINTENDENT AND PRINCIPAL CONTACT INFORMATION

Freedom of Information Office
Illinois State Board of Education
100 North First Street
Springfield, Illinois 62777-0001
ATTN: FOIA 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 Superintendent and 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):

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: kritter2@luc.edu

Thank you for your consideration of this request.

Sincerely,

Ms. Karen Ritter

APPENDIX B
FREEDOM OF INFORMATION ACT (FOIA) REQUEST FOR
ILLINOIS 5ESSENTIALS SURVEY DATA

5Essentials Client Services
ATTN: FOIA Request

Dear FOIA 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 of Illinois public schools with 5Essentials Data in 2014, 2015, 2016, 2017
- Category ratings for the 5 categories of Effective Leadership, Collaborative Teachers, Involved Families, Supportive Environments, and Ambitious Instruction
- Excel or other spreadsheet format

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

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: kritter2@luc.edu

Thank you for your consideration of this request.

Sincerely,

Ms. Karen Ritter

APPENDIX C

PERMISSION TO USE PSYCHOLOGICAL CAPITAL QUESTIONNAIRE (PCQ-24)

Karen Ritter



To whom it may concern,

This letter is to grant permission for Karen Ritter to use the following copyright material:

Instrument: *Psychological Capital (PsyCap) Questionnaire (PCQ)*

Authors: *Fred Luthans, Bruce J. Avolio & James B. Avey.*

Copyright: "*Copyright © 2007 Psychological Capital (PsyCap) Questionnaire (PCQ) Fred L. Luthans, Bruce J. Avolio & James B. Avey. All rights reserved in all medium.*"

for his/her thesis/dissertation research.

Three sample items from this instrument may be reproduced for inclusion in a proposal, thesis, or dissertation.

The entire instrument may not be included or reproduced at any time in any other published material.

Sincerely,

A handwritten signature in black ink, appearing to read "Karen Ritter".

Mind Garden, Inc.
www.mindgarden.com

APPENDIX D

EMAIL MESSAGE TO SUPERINTENDENT FOR PERMISSION FOR RESEARCH

Dear Superintendent:

My name is Karen Ritter, a fellow administrator at Leyden High School District 212 and a doctoral student at Loyola University of Chicago under the supervision of Dr. Elizabeth Vera, a faculty member in the School of Education.

I am asking for permission to request the principals in your district to participate in a survey and possibly a follow-up interview on how a principal's positive mindset impact a school's culture. School culture will be measured using public Illinois 5Essentials Survey data. The positive capacities will be measured by a 24 question likert-scale psychological capital questionnaire (Luthans, Avolio, & Avey, 2007), measuring the positive states of *hope, optimism, self-efficacy, and resilience*. Research shows that these positive capacities are associated with higher performance of not only the leader, but also the organization as a whole.

Attached is a Letter of Cooperation which you may read about my research. Please feel free to ask any questions before agreeing to participate.

If you agree to participate in the study, I will send you a Statement of Cooperation that you can copy on district letterhead, sign, and send back to me via email or US mail.

Please respond on the attached Google Form whether you give permission for principals to participate in the research. I thank you in advance for reading this message and considering being a part of my research.

Sincerely,

Karen Ritter

APPENDIX E

LETTER OF COOPERATION TO SUPERINTENDENT FOR RESEARCH

Project Title: ARE YOU A H.E.R.O.?: A MIXED METHODS STUDY OF THE RELATIONSHIP BETWEEN ILLINOIS PRINCIPALS' PSYCHOLOGICAL CAPITAL AND THE SCHOOL'S CULTURE

Researcher: Karen Ritter

Faculty Sponsor: Dr. Elizabeth Vera

Introduction:

A public school principal in your district is invited to participate in the research study being conducted by Karen Ritter, a Doctoral student at Loyola University of Chicago under the supervision of Dr. Elizabeth Vera, a faculty member in the School of Education.

This study consists of two phases. The first phase involves a Psychological Capital Survey, where the principal's psychological capital will be assessed and results immediately given to the participant. The second phase includes a follow-up semi-structured interview of eight participants. Your district was selected as a possible participant in this research because all Illinois public school principals in public districts outside of CPS District 299 will be invited to participate as the sampling group of the research.

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 positive leadership practices with the two components of Effective Leaders and Collaborative Teachers in the Illinois 5Essentials survey. The second phase of this study is to explore the relationship between the influence of a school principal's psychological capital and an overall positive organizational behavior of the school.

Procedures:

If you agree for a school in your district to participate, you are asked to sign and return this "Letter of Cooperation." Please download this "Letter of Cooperation" onto your district stationery or letterhead. Sign the form and return it to the researcher in the enclosed self-addressed stamped envelope. Signing and returning this letter of cooperation will indicate your agreement to participate in this research study.

Upon receipt of your Letter of Cooperation, a school principal(s) in your district will be asked to participate in the survey and possibly in the semi-structured interview. Prior to commencing the survey, the principal will be asked to read a "Consent to Participate in Research" letter and asked to sign. The researcher will contact the principal to arrange a mutually convenient time and location to conduct the interview.

Risks and Benefits of being in the study:

This portion of the study has minimal risks to you as the participant. The principal's survey and interview responses, along with his or her identity, 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. The researcher cannot fully know what information is known publically 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 educational 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 and those of the principal 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/coded using the identification number. Individual names or the names of school districts will not be mentioned in the final writing.

Survey results will be kept in a secure password protected computer drive in the researcher's home and only the researcher and the academic advisor will have access to the results while working on this project.

Upon completion of the dissertation the researcher will destroy all 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, Karen Ritter, at kritter2@luc.edu or my faculty advisor, Dr. Elizabeth Vera, at evera@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 Compliance Manager in Loyola's Office of Research Services at (773) 508-2689.

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

Statement of Cooperation:

I, the Superintendent, agree to cooperate in the research to be conducted by Karen Ritter in conjunction with Loyola University of Chicago's School of Education. The doctoral project entitled "ARE YOU A H.E.R.O.?: A MIXED METHODS STUDY OF THE RELATIONSHIP BETWEEN ILLINOIS PRINCIPALS' PSYCHOLOGICAL CAPITAL AND THE SCHOOL'S CULTURE," along with the outlined research protocols are understood.

Signature of Participant Date

Signature of Researcher Date

APPENDIX F

EMAIL MESSAGE FOR PARTICIPATION IN RESEARCH

Subject Line: Psychological Capital of Illinois Principals

Dear <<FirstName>> <<LastName>>>,

Congratulations on your success as an Illinois school principal! As a leader of an Illinois public school, you have been personally selected to participate in a research study being conducted by Karen Ritter, fellow administrator at Leyden High School District 212 and a Doctoral student at Loyola University of Chicago under the supervision of Dr. Elizabeth Vera, a faculty member in the School of Education.

This study aims to examine the relationship between a principal's Psychological Capital, made up of the components of hope, self-efficacy, resilience, and optimism, and his or her school's culture, as measured by the Illinois 5Essentials Survey in the categories of Effective Leaders and Collaborative Teachers. If you decide to participate, you are asked to complete the Psychological Capital Questionnaire (PCQ-24) on a Google form. The questionnaire will take approximately 10-15 minutes to complete, and upon completion, you will receive immediately your Psychological Capital score, a score for each of the four components that make up the Psychological Capital construct, and ways in which you can further develop your Psychological Capital. 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 PCQ-24 as well as your reflection regarding its relationship to your practices and professional growth as a leader.

Please click on the link below to access the Psychological Capital Questionnaire and 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 PCQ-24 to be sent.

If you have any questions, please feel free to contact me, Karen Ritter, at kritter2@luc.edu or my faculty advisor, Dr. Elizabeth Vera, at evera@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 Compliance Manager in Loyola's Office of Research Services at (773) 508-2689.

Thank you in advance for your generous participation!

APPENDIX G

CONSENT LETTER FOR PARTICIPATION IN RESEARCH

Project Title: Are you a H.E.R.O.? A mixed methods study of the relationship between Illinois principals' psychological capital and the school's culture

Researcher: Karen Ritter

Faculty Sponsor: Dr. Elizabeth Vera

Introduction:

You are invited to participate in a research study being conducted by Karen Ritter, a Doctoral student at Loyola University of Chicago under the supervision of Dr. Elizabeth Vera, a faculty member in the School of Education.

You were selected as a possible participant in this research because you are a principal in an Illinois public school.

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 an Illinois public school principal's Psychological Capital as measured by the Psychological Capital Measurement Survey and its role in positive school culture as measured by the Illinois 5Essentials Survey.

Procedures:

You may take the Psychological Capital Survey assessment and obtain your Psychological Capital survey results, whether you choose to participate further in the study. The survey will take approximately 10-15 minutes to complete and can be accessed online. Upon completion, you will immediately receive an overall Psychological Capital score, as well as a score for each of the competencies that comprise the Psychological Capital framework, which are self-efficacy, hope, optimism, and resilience. If you decide to participate further in the study, you will be asked to give permission to be part of the study in two ways. The first phase of the study would include using your survey results as a part of a quantitative aggregate measure compiled by the researcher. The second phase of the study would involve giving permission to be interviewed by the researcher to discuss your Psychological Capital Questionnaire in more detail and your reflection regarding its relationship to your practices and your school's positive school culture.

Risks and Benefits of being in the study:

This portion of the study has minimal risks to you as the participant. Your Psychological Capital 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 Psychological Capital Questionnaire. The survey is an assessment that identifies a person's positive practices,

which are caring, compassionate support, forgiveness, inspiration, meaning, and respect, integrity, and gratitude.

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 Psychological Capital Questionnaire results at no cost to you.

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, Karen Ritter, at kritter2@luc.edu or my faculty advisor, Dr. Elizabeth Vera, at evera@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 Compliance Manager in Loyola's Office of Research Services at (773) 508-2689.

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

APPENDIX H

PSYCHOLOGICAL CAPITAL QUESTIONNAIRE RESULTS COMMUNICATION

PSYCHOLOGICAL CAPITAL RESULTS

FOR

<<Title>> <<First Name>> <<Last Name>>

Created:

<<Timestamp>>

Thank you for taking the Psychological Capital Questionnaire (PCQ-24).

H	E	R	O
<p>HOPE</p> <p>A positive motivational state where (a) agency (goal-directed energy) and (b) pathways (planning to meet goals) successfully interact.</p>	<p>EFFICACY</p> <p>Confidence in one's abilities to successfully execute a specific task within a given context.</p>	<p>RESILIENCE</p> <p>Successfully coping with adversity or stress; the ability to bounce back from a high workload, conflict, failure, or positive events like increased responsibility.</p>	<p>OPTIMISM</p> <p>Positive future expectation along with the interpretation of negative events as externally caused and positive events as internally caused.</p>
<p><i>(Snyder, Irving, & Anderson, 1991, p. 287)</i></p>	<p><i>(Stajkovic & Luthans, 1998)</i></p>	<p><i>(Masten, 2001)</i></p>	<p><i>(Seligman, 1998)</i></p>

Psychological Capital

Psychological capital is a higher order construct under Positive Psychology. Positive psychology emerged when Martin Seligman and other psychologists thought they should study what is “right” with people, instead of what is “wrong” with them. Positive psychology focuses on one’s strengths and what makes them thrive, as opposed to one’s deficits and their diagnoses.

Traditional human resource strengths, including human capital (what you know) and social capital (who you know), are recognized as giving leaders a competitive advantage in the workplace. Psychological capital is becoming a more sought-after resource among leaders and employees.

Psychological capital consists of four components: hope, optimism, resilience, and efficacy (also called confidence), giving it the acronym, **H.E.R.O.** Psychological capital, or PsyCap, is a higher order construct because the four specific components, together, form something stronger than the sum of its parts. PsyCap focuses on the “Who I Am” personal strengths and good qualities, while human capital and social capital focus on “What I Know” and “Who I Know,” respectively (Luthans, Luthans, & Luthans, 2004).

Although research in PsyCap is still emerging, in a meta-analysis of the impact of positive psychological capital on employee attitudes, behaviors, and performance, PsyCap has shown positive relationships with job satisfaction, organizational commitment, psychological well-being, and desirable employee behaviors. It has shown a negative relationship with undesirable employee attitudes, such as cynicism, turnover

intentions, job stress, and anxiety) and undesirable employee behaviors (Avey, Reichard, Luthans, Mhatre, 2011).

Your Psychological Capital Scores (all scores are on a scale of 1 - 6 points)

H	E	R	O	Total
HOPE	EFFICACY	RESILIENCE	OPTIMISM	PSY CAP
<<Hope (7-12)>> <<H>>	<<Efficacy (1-6)>> <<E>>	<<Resiliency (13-18)>> <<R>>	<<Optimism (19-24)>> <<O>>	<<Total PsyCap Score>> <<Psy>>

Overall, your Psychological Capital is <<Psy>>. <<Comment>>

Like human and social capital, PsyCap can be developed by deliberate practice, unlike more fixed personality traits, such as extrovertedness or conscientiousness. Below are ways that you can further develop your PsyCap and the PsyCap of your employees.

Positive relationships and collective efficacy	These assets can contribute to building resilience and help people bounce back when they have a champion by their side. They also develop optimism by creating an organizational culture, where employees are more likely to embrace change, see opportunities that lie before them, and focus on taking advantage of those opportunities.
Open communication and trust	Transparency, integrity, and trust can build resilience in both leaders and followers. Seek employees' sincere feedback and give it back to them. Always seek to understand others' perspectives.
Self-awareness	Leaders who use self-awareness to better focus their energies, actions, and resources toward further self-development increase their resilience and emotional intelligence.
Organizational and personal goal-setting	Set and clarify specific and challenging yet attainable "stretch" goals that stimulate excitement and anticipation. Also set "approach" goals to feel a sense of accomplishment and motivation to persevere.
Mental rehearsals	Practice the thoughts and actions that lead you to achieve your goals. When actual obstacles appear, we are better prepared to face them when they have been mentally rehearsed.
Mastery experiences or performance attainments	Experiences gained through perseverance and learning ability form a strong and lasting sense of confidence. Increase the complexity and skill level of your tasks.
Vicarious experiences or modeling	Surround yourself with those who excel. When you see others like you succeed by sustained effort, you come to believe that you, too, have the capacity to succeed. The more similar the model (age, sex, physical

	characteristics, education, status, experience) and the more relevant the task, the more effect there will be on developing PsyCap. This is especially true for women and/or people of color.
Social persuasion	Encourage those around you by giving genuine objective feedback. Respected, competent people can develop PsyCap in others by persuading them that they “have what it takes.”
Physiological and psychological arousal	Make sure you are in good health, physically and emotionally. Negative feelings (fatigue, illness, anxiety, depression, stress) can detract greatly from one’s confidence level.
Rituals and habits	Rituals, or habits, involve specific behaviors triggered at certain times of day. Maintaining rituals help you stay committed to your goal while conserving mental and physical energy.
Stepping	Break down larger goals into smaller, more manageable parts.
Involvement	Engaging yourself and employees by getting them involved has a positive effect on hope, increased employee satisfaction, and performance.
Reward systems	Recognition and positive feedback toward those who contribute to goals, exhibit agency, and demonstrate pursuit of multiple pathways toward goal attainment can help reinforce hope in others.
Strategic alignment	Strategic leadership provides a clear line of sight for the possibilities of the organization’s future, focusing on alignment of the placement and development of human resources with employees’ talents and strengths.
Training	Training can promote hope if it is hands-on, interactive, and participative. People need to use this training to develop goals that they own and are passionate about, which can lead to positive impact.

I hope you enjoyed learning more about Psychological Capital and how you can further develop it. For more information on PsyCap or its four constructs of hope, self-efficacy, resilience, and optimism, please see the resources below. If you have questions about the survey or my research, please feel free to contact me at kritter2@luc.edu.

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APPENDIX I
INTERVIEW PROTOCOL

Leadership Questions:

- 1) How would you describe your style of leadership?
- 2) What are your impressions of your Psychological Capital survey results?
 - a) What parts of the survey and/or your results surprised you?
 - b) Would you agree to your strengths that were identified by the Psychological Capital survey?
 - c) Would you agree to your areas for growth that were identified by the Psychological Capital survey?
- 3) In your opinion, what personal or professional experiences have led to your development of Psychological Capital?
- 4) If you were to take the Psychological Capital survey when you first started your role as a principal, do you think your score would have been the same? Why or why not?
- 5) Why do you think Psychological Capital is important for high school leaders?
- 6) Of your four states of Psychological Capital, self-efficacy, hope, optimism, or resilience, which one do you think has had the most impact on your school's culture and how?
- 7) In what way do you believe a leader's Psychological Capital can positively influence a school's culture?
- 8) Do you have anything else to share about your leadership capacities, your role as principal, or your influence on the school culture?
- 9) What other qualities contribute to effective leadership?

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VITA

Karen Ritter is the daughter of Stan and Chong Larson and was born in 1972 in Chicago, Illinois. She grew up in Lombard, Illinois. She graduated from the University of Illinois Urbana-Champaign in 1995 with a Bachelor of Art in the Teaching of French, after studying abroad at the Université de Paris à la Sorbonne. When she lived in France where she was an au pair, the mother of the family for whom she worked used to say, “Karen est une fille américaine, avec un père italien, une mère coréenne, un nom de famille suédois, qui parle français! Ça, c’est l’Amérique!” She taught French at Taft High School in Chicago for 11 years and participated in a Fulbright Teacher Exchange in 1998-1999 in Dakar, Sénégal, teaching English. She then pursued her Type 75 administrative certificate and earned a Masters in Educational Administration & Leadership from the University of Illinois at Urbana-Champaign. She became an Assistant Principal at Mather High School in Chicago for five years before transitioning to East Leyden High School, where she is in her sixth year as Assistant Principal. Karen currently lives in Chicago with her husband and two daughters.

Karen Ritter has served on the Loyola School of Education Academic Council, the College Board Academic Advisory Council, and has provided professional development on many topics, including restorative practices, mindfulness, equity and empathy, and reducing stress in the workplace. In 2016, Karen was featured on a PBS

Newshour segment where she shadowed a student for a day to empathize with the high school student experience.

DISSERTATION COMMITTEE

The Dissertation submitted by Karen Ritter has been read and approved by the following committee:

Elizabeth Vera, Ph.D., Director
Professor, School of Education
Loyola University Chicago

Felicia P. Stewart, Ed.D.
Clinical Assistant Professor, School of Education
Loyola University Chicago

Harry Rossi, Ed.D.
Former Superintendent
Alum and Adjunct Professor, School of Education
Loyola University Chicago