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Leadership capacity for succession and sustainability in a family-owned private school

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LEADERSHIP CAPACITY FOR SUCCESSION AND SUSTAINABILITY IN A FAMILY- OWNED PRIVATE SCHOOL

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Education is Power!

Dream Big!

Nothing is Impossible!

XOXO,

Fiorella.

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ABSTRACT

This study examined the perceptions of private school teachers and administrators regarding Lambert's (2003) six characteristics of Quadrant 4 schools. Lambert (2003) states that Quadrant 4 schools are schools with a high level of leadership capacity that exhibit six critical characteristics (a) broad-based, skillful participation in the work of leadership; (b) shared vision resulting in program coherence; (c) inquiry-based use of data to inform decisions and practice; (d) roles and actions that reflect broad involvement, collaboration, and collective responsibility; (e) reflective practice that leads consistently to innovation; and (f) high or steadily improving student achievement.

The purpose of this study was to assess and better prepare family-owned private schools for succession. Teachers and administrators were surveyed to determine the school's level of readiness for successful succession and sustainability by establishing to what degree are Lambert's (2003) six characteristics of Quadrant 4 schools commonly practiced by teachers and administrators in the school. Quantitative and qualitative methods were used to analyze and determine teachers and administrators' perceptions, statistically significant agreements, and school-wide needs.

The study concluded that leadership capacity is essential for succession and sustainability in a school. Leadership capacity determines the ability a school has to lead itself successfully by creating layers of leaders who can sustain the organization when key individuals leave. This study also identifies the key skills required to build leadership capacity for successful succession and sustainability in an organization. Furthermore, this study shows the importance of assessing the level of leadership in a school as an essential

component for developing a successful organization, improve leadership practices, and enhance the consistency of the school program.

The findings from this study recommend that ongoing work in leadership training, succession planning, staff development, mentoring from principals of high leadership capacity schools, opening lines of communication among teachers and administrators, using assessment tools, and sharing data are essential for building leadership capacity, succession, and sustainability in a school.

Chapter 1: Foundations of the Study

This chapter provides an introduction to the study by giving background information about the research site, the country where it is located, and its educational system. This chapter also discusses the problem statement, the purpose of the study, its research questions, its importance, the delimitations and limitations, the assumptions, definition of terms, and offers an overview of its organization.

Background

In the past years, educational research has emphasized the importance of building leadership capacity for successful succession and sustainability in an organization (Bolman & Deal, 2003; Collins, 2001; Covey, 2004; DuFour & Eaker, 1998; Fullan, 2005; Hargreaves & Fink, 2006; Kotter, 1996; Lambert, 1998, 2003; Marzano, Waters, & McNulty, 2005; Maxwell, 2002; Schein, 2004; Senge, 2006). Leadership capacity, succession, and sustainability are three elements that are deeply interconnected and interdependent (Fullan, 2005). Leadership capacity refers to the level of participation in leadership and the skill teachers, administrators, students, parents, and the school community brings to the organization (Lambert, 1998, 2003). Succession is a lifelong process of planning and management that includes several steps aimed at ensuring continuity (Aronoff, McClure, & Ward, 2003). Sustainability involves strategies to develop leadership so that successors can emerge more prepared to take over and the organization can move into the future and endure overtime (Fullan, 2005). Leadership capacity is essential for the succession and sustainability of a school because it determines the ability the organization has to lead itself successfully by creating layers of

leaders who can sustain the organization when key individuals leave (Fullan, 2005; Hargreaves & Fink, 2006).

Leadership capacity, succession and sustainability are processes requiring planning, teamwork, and constant re-evaluation (Fullan, 2005; Lambert 2003). To adequately prepare for them, the leader needs to assess and develop the skills and attitudes of everyone in the organization (Maxwell, 2002). Successful organizations cannot focus on one leader alone. Instead, they must concentrate in building leadership capacity in everyone (Fullan, 2005; Lambert, 2003; Hargreaves & Fink, 2006). Regrettably, building leadership capacity, succession, and sustainability are not always on the mind of most leaders or private school owners as they often end up more occupied facing every day challenges like marketing the school, ensuring its financial viability, establishing competitive teacher salaries, and trying to meet and exceed the high expectations of school parents (Geddes, 2009).

Although top-down traditional leadership has served Sagrado Corazón de La Molina School (SCM) adequately for the past years, it has created an increased dependency on its leader. “Hierarchical organizations, in which a few people at the top make decisions that everyone else follows, are highly efficient because they have fewer transaction cost, but they also allow little room for creativity and organizational learning” (Graham & Ferriter, 2010, p. 129). Teachers and staff under this paternalistic leadership style have become complacent with the status quo and used to receive and follow orders rather than to come up with new ideas or initiatives. “Any leader who has only followers around him will be called upon to continually draw on his own resources to get things done. Without other leaders to carry the load, he will become fatigued and burnt out”

(Maxwell, 2003, p. 34). This dependency has increased stress on the leader who had to find the way to provide orders and directives to a growing number of people. This system that worked effectively at SCM when the school was fairly small and the leader was always present, needed to change in order to allow the organization to grow and benefit from the initiatives and contributions of all stakeholders.

Furthermore, since the researcher's presence in the school and duties as leader of SCM have become harder to manage due to her responsibilities in the United States, succession in the school has become imminent and building leadership capacity has become the key to achieve it successfully. Consequently, for the past 3 years SCM has undergone several changes that have helped the school shift from a traditional leadership style that relied heavily on one person to a more collaborative leadership style that encourages the participation of all the stakeholders.

SCM is a college preparatory private school located in Lima, Perú. Perú is the third largest country in South America, bordering the South Pacific Ocean, between Chile and Ecuador. As of 2009 Perú had a population of approximately 29 million habitants from which 8.7 million lived in the capital, Lima (Instituto Nacional de Estadística e Informática de Perú, 2009). Perú is a centralized country. Even though the country is divided in three different regions (Coast, Andes, and Amazon) and 24 different provinces, the majority of the country's population lives in Lima. Lima represents only 3% of the country's territory but it houses 30% of its population (Instituto Nacional de Estadística e Informática de Perú, 2009). In 2009 Perú had a GDP of $127.4 billion from which 3% was spent in education (Central Intelligence Agency, 2009). Perú currently has one of the highest economic growth rates in Latin America. Notwithstanding, it still has

one of the worst public educational systems in the region (Calonico & Nopo, 2007). The Peruvian Ministry of Education (MINEDU) exercises authority over a growing network of public and private schools in the country. As of 2009 there were 7.7 million students in Perú, 5.6 million in public schools and 2.1 million in private ones (Estadística de la Calidad Educativa de Perú, 2009). Education in Perú is free and compulsory for students ages 3 to 16 with the academic year running from April to December (Ministerio de Educación de Perú, 2009). Nevertheless, the disparity in terms of quality of education and facilities between public and private schools is noticeable due to the lack of funding. As a result, and in order to fulfill the needs and demands of the population, many private schools have been established.

SCM is a family-owned private school with 450 students and a staff of 50 full-time teachers. SCM has achieved a very good reputation due to its personalized education, superior student achievement, and high college admission rates. SCM is divided in three levels: Preschool (students ages 3 to 5), Elementary (Grades 1 to 6, students ages 6 to 11), and High School (Grades 1 to 5, students ages 12 to 16). SCM educates students from middle and upper middle socio-economic status and from diverse religions and ethnic backgrounds.

SCM has no teacher union. Teacher contracts are renewed on a yearly basis. The school board consists of the researcher and her parents. Decisions are made by them with the input of the level coordinators, teachers, and staff. SCM academic year is divided in four quarters. The academic year starts in March and ends in December. All teachers are graduates from accredited universities and have several years of experience in the field. Since SCM is a college preparatory school, it also employs faculty members from

different universities who teach and prepare high-school students for admission to colleges and universities in Perú and abroad.

SCM has evolved from a simple hierarchical organization to more complex and collaborative one that currently has level coordinators in each of the three school levels. Level coordinators were selected based in their individual skills and abilities that allowed them to relate to people, translate concepts into action, organize change, and innovate (Graham & Ferriter, 2010). Level coordinators have been in place for the past 3 years. Level coordinators are responsible for their grade level teachers and attend to their immediate needs. In addition, level coordinators formed leadership teams. Leadership teams consist of the principal, level coordinators, class advisors, and the discipline enforcement official of each level. Level coordinators are now responsible for what happens at their level. They decide, delegate, and supervise their staff, and they come to the principal when necessary. This new organizational structure (see Figure 1) allows the principal to touch base with the level coordinators, rather than with all the teachers, on a daily basis.

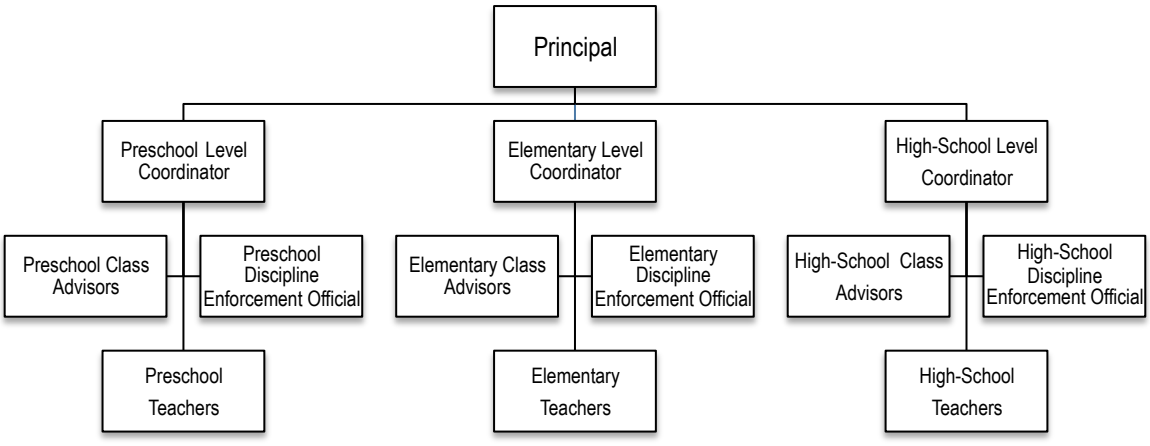

Figure 1. SCM organizational chart

Furthermore, leadership teams allow teachers from each level to have some input and active participation in the decisions of the school with some degree of lateral coordination (Bolman & Deal, 2003). This new organizational structure has allowed for a more flexible approach than the authoritarian system that teachers were used to at SCM (Bolman & Deal, 2003). "Successful organizations employ a variety of methods to coordinate individual and group efforts and to link local initiatives with corporation-wide goals" (Bolman & Deal, 2003, p. 50). At SCM, efforts are coordinated vertically through the formal chain of command and laterally through meetings and the new organizational structure provided by the leadership teams (Bolman & Deal, 2003).

Problem Statement

For the past 3 years, SCM has experienced several changes. In order to build leadership capacity SCM started to build trust, redesign jobs, change its organizational structure, and create a learning culture which has helped the school shift from an authoritarian leadership style that relied heavily on one person to a more collaborative leadership style that encourages the participation of all the stakeholders (Lambert, 2003; Maxwell, 2002). Nevertheless, the time demands of implementing all these changes left the school without the time and ability to assess if they have improved the organization. In order to establish the effectiveness of the changes and because succession at SCM is inevitable due to the impending leaders' departure from the school, SCM needs to establish whether or not the changes that have been implemented are working by assessing the leadership capacity of the organization.

Purpose of the Study

The purpose of this study was to assess and better prepare SCM for succession. This study examined the perceptions of SCM teachers and administrators in regard to Lambert's (2003) six characteristics of Quadrant 4 schools. This study was conducted in order to determine SCM level of readiness for successful succession and sustainability by establishing to what degree are Lambert's (2003) six characteristics of Quadrant 4 schools commonly practiced at SCM as perceived by teachers and administrators in the school.

Lambert (2003) states that Quadrant 4 schools are schools with a high level of leadership capacity that exhibit six critical characteristics (a) broad-based, skillful participation in the work of leadership; (b) shared vision resulting in program coherence; (c) inquiry-based use of data to inform decisions and practice; (d) roles and actions that reflect broad involvement, collaboration, and collective responsibility; (e) reflective practice that leads consistently to innovation; and (f) high or steadily improving student achievement. Teachers and administrators at SCM were surveyed to determine their perceptions of Lambert's (2003) six critical characteristics of Quadrant 4 schools in order to establish SCM level of readiness for successful succession and sustainability.

Research Questions

The following questions guided this study:

1. To what degree are Lambert's (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by teachers in the school?
2. To what degree are Lambert's (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by administrators in the school?

3. To what extent, if at all, is there agreement between the perceptions of teachers and administrators in the school regarding Lambert's (2003) six characteristics of Quadrant 4 schools?
4. What are SCM school-wide needs regarding leadership capacity based on Lambert's (2003) six characteristics of Quadrant 4 schools?

Importance of the Study

The outcome of this study contributes to the existing knowledge base for building leadership capacity for succession and sustainability in a family-owned private school. School owners and leaders in general can benefit from this study because it identifies the key skills required to build leadership capacity for successful succession and sustainability in an organization.

In addition, this study shows the importance of assessing the level of leadership in a school as an essential component for developing a successful organization, improve leadership practices, and enhance the consistency of the school program. Furthermore, this study demonstrates the importance of building leadership capacity skills among teachers and administrators in order to support a climate for successful succession and sustainability in a school.

Delimitations of the Study

The data for this study came from a single private school in Lima, Perú with 450 students and 50 full-time staff members. Teacher perceptions of leadership capacity were limited to SCM teachers from Preschool to 12th Grade. Administrator perceptions of leadership capacity were limited to SCM administrators.

Limitations of the Study

This study was limited to the opinions and perceptions of a group of teachers and administrators in a private school. A purposive sampling method was used and limited to teachers and administrators at SCM. The responses relied on the honesty and accuracy of the teachers and administrators who participated in the study. This is not a representative sample of all private schools; therefore, there may be some inherent bias in the survey data. As a result, caution should be used in generalizing the results to private schools outside of SCM.

Assumptions

The accuracy and validity of this study, and the conclusions made during the analysis of the data, assumed that teachers and administrators provided the most honest and accurate feedback possible. Since the accuracy of the responses cannot be validated, the conclusions drawn from this study cannot be considered indisputably correct. Instead, the conclusions from this study reveal patterns that call for further empirical research and study.

Definition of Terms

Leadership. The act of motivating a group of people to work towards achieving a common goal (Weiss & Molinaro, 2005).

Leadership capacity. Broad-based skillful participation in the work of leadership that leads to lasting school improvement (Lambert, 1998).

Sustainability. The capacity an organization has to move into the future and endure overtime (Fullan, 2005).

Succession. The act or process of one person taking the place of another in a leadership position (Geddes, 2009).

SCM. Sagrado Corazón de La Molina School. Family-owned private school located in Lima, Perú.

Quadrant 4 Schools. High leadership capacity schools (Lambert, 1998, 2003).

MINEDU. Peruvian Ministry of Education. Organization responsible for formulating, implementing, and supervising the national educational policy in both public and private educational institutions in Perú.

LCSS. Leadership Capacity School Survey. Survey developed and published by Linda Lambert. Ed.D. Professor Emeritus from California State University, East Bay and author of several books on leadership.

PLC. Professional Learning Community, a collegial group of educators united in their commitment to an outcome (DuFour & Eaker, 1998).

*Private school. S*chool managed and supported by private individuals or a corporation rather than by a government or public agency and financed by tuition paying students (Calonico & Nopo, 2007).

Stakeholder. Individual with a common interest or stake in the success of an organization (Weiss & Molinaro, 2005).

School administrator. Individual who holds a managerial position in a school.

School coordinator. Individual who manages a school level (Preschool, Elementary, High School).

School teacher. Individual who teaches in a school.

Class advisor. Individual who serves as guidance counselor for a class for a year.

Organization of the Study

This study is organized into 5 chapters, references, and appendices. Chapter 1 begins with an introduction to the study and background information about the school setting. This chapter also includes the problem statement, purpose, research questions, importance, limitations, delimitations, assumptions, and definition of terms of the study. Chapter 2 provides a review of the literature important to the study. Chapter 3 describes the methodology and research design of the study. Chapter 4 presents the data analysis and results of the study. Chapter 5 offers a summary of the major findings, conclusions, and recommendations of the study.

Chapter 2: Literature Review

This chapter provides background information about Perú and its educational system. This chapter also cites the work of Lambert (2003) regarding building leadership capacity, as well as that of several educational and business theorists who support building leadership capacity for successful succession and sustainability in a family-owned private school.

Peruvian Educational System

Perú is the third largest country in South America, bordering the South Pacific Ocean, between Chile and Ecuador. Perú has a population of approximately 29 million habitants from which 8.7 live in the capital, Lima (Instituto Nacional de Estadística e Informática de Perú, 2009). Perú is a centralized country. Even though the country is divided in three different regions (Coast, Andes, and Amazon) and 24 different provinces, the majority of the country's population lives in Lima. Lima represents only 3% of the country's territory but it houses 30% of its population (Instituto Nacional de Estadística e Informática de Perú, 2009).

The formation of the current Peruvian educational system began with the arrival of the Spaniards in the 16th century. Schools were developed for the growing Spanish population and managed almost exclusively by the Catholic Church (Alaperrine-Bouyer, 2007). The majority of schools were established in the capital Lima, causing it to become the center of education in the country. Even though education during the colonial period focused almost exclusively on the ruling class, the 1821 declaration of independence empowered the entire population and opened educational opportunities to a wider segment of society (Alaperrine-Bouyer, 2007).

Since the 1st decade of the 20th century, the administration and finance of Peruvian education has been under the control of MINEDU (Vigo & Nakano, 2007). Even though the government accepted responsibility for providing free education since 1823, that goal was never fully accomplished due to the social stratification in the country. It was not until the post World War II period that significant progress was achieved and education was able to reach the majority of the population (Vigo & Nakano, 2007). In 1968 the seizure of power by a military regime took important measures to reorganize and improve the economy and education of the country by trying to eliminate the unjust social and economic order. In 1972 MINEDU issued an educational reform that aimed to prepare citizens for the workplace for the benefit of society and to make Perú stronger within the international community. Regrettably, an economic crisis that ended in 1990 with Perú having one of the world's highest inflation rates, highest unemployment rates, and a poverty rate of 50%, resulted in dramatic cuts in education and the deterioration of the educational system (Vigo & Nakano, 2007).

Peru's next president committed himself to the restoration and expansion of the educational system. Article 13 of the 1993 Constitution established education as a core factor in personal development that is protected by the state and encouraged by the family (Cotlear, 2006). In 1997 Perú began process of modernization and restructuring of its educational system to address the inequalities of the past and to better prepare students for the future. Education went from being a one-dimensional acquisition of concepts to becoming a multi-dimensional holistic approach (Cotlear, 2006).

Education in Perú is free and compulsory for students ages 3 to 16. The academic year runs from April to December (Ministerio de Educación de Perú, 2009). Peruvian

education includes two main types of schools (a) public, and (b) private. Public schools are managed and financed by the government. Private schools are managed by a person or corporation and mostly financed by tuition-paying students. Peruvian schools are divided in three levels: Preschool, Elementary, and High School and seven educational cycles (see Appendix A) with specific curricular areas (see Appendix B). Curricular areas indicate the basic knowledge students have to acquire and master during each educational cycle. Each student needs to complete a number of educational hours during each educational cycle. Preschool students must complete 25 educational hours a week for a total of 900 hours a year. The hours increase for elementary students who must complete 30 educational hours a week for a total of 1100 hours a year and for high-school students who must complete 35 educational hours a week for a total of 1200 hours a year (Ministerio de Educación de Perú, 2009). These educational hours are set as a minimum. Most private schools extend educational hours due to the demands of their extended curriculum and activities.

Even though reforms and improvements have been made, free compulsory education for all students is still far from being accomplished. As of 2009 there were 7.7 million students in Perú, 5.6 million in public schools and 2.1 million in private ones (Estadística de la Calidad Educativa de Perú, 2009). Public schools educate 70% of the student population while the other almost 30% attends private schools (Estadística de la Calidad Educativa de Perú, 2009). National expenditures in education have fluctuated significantly under the various administrations of recent decades. As a percentage of GDP, education expenditures amounted to 3.82% in 1970, but fell to 2.93% in 1980 and 2.21% by 1989 (Cotlear, 2006). According to the current General Education Law of 2003

the government expenditure in education should be no lower than 6% of the country's GDP (Ministerio de Educación de Perú, 2009). Notwithstanding, in 2009 Perú spent 3% of its GDP in education (Central Intelligence Agency, 2009). In Perú, the spending in education as a percentage of its GDP is significantly lower that what is required by law and than the average of 4.5% spent by other countries in the region (Wu, 2001). As a result, most families who enroll their children in public schools must finance part of its cost by buying books, uniforms, materials, and supporting the school with money to pay teachers and services (Saavedra & Suárez, 2002). Peru's low government spending in education makes it difficult for public schools to operate only with public funds (Saavedra & Suárez, 2002).

Education in Perú takes a backseat to priorities such as paying off the external debt, covering national security expenses, and compensating government workers. With such a limited budget and poorly paid teachers, public schools often lack quality and services (Saavedra & Suárez, 2002). Although in Perú every student has the right to an education, class sizes are often large, teachers are poorly trained, and schools lack effective teaching materials (Saavedra & Suárez, 2002). Students may attend school, but that does not necessarily mean they receive a good standard of education.

Private education in Perú. Private schools precede public ones in Perú. The first private schools where instituted by the clergy during the colonial period and serviced mainly the ruling class (Alaperrine-Bouyer, 2007). Public schools were established a few years after Peru's independence in 1821. However, it took more than a century of slow progress to create an educational system that reached a significant number of the population across the nation (Vigo & Nakano, 2007). Private schools in Perú originated

as a result of the needs and demands of the population who was not satisfied with the quality and services of public institutions. Even though Perú currently has one of the highest economic growths and lowest inflation rates in Latin America, it still has one of the worst public educational systems (Calonico & Nopo, 2007). Class sizes are often large, teachers are poorly trained, and schools lack effective teaching materials (Saavedra & Suárez, 2002). Due to the lack of quality and resources of public education, parents have looked at private schools to provide the quality and personalized education they want for their children (Calonico & Nopo, 2007).

Private schools saw a slight reduction in enrollment and popularity during the 1980's due to the economic crisis faced by the nation (Vigo & Nakano 2007). However, they have regained popularity during the past years (Calonico & Nopo, 2007). Private schools currently educate close to 30% of the student population in Perú (Estadística de la Calidad Educativa de Perú, 2009). In Perú there are two main types of private schools (a) religious or with some religious affiliation, and (b) secular or independent. Religious schools teach religion along with the usual academic subjects. Although in Perú there are Jewish, Muslim, and Protestant schools, the vast majority of religiously affiliated schools are Catholic. Catholic schools receive financial support from the Catholic Church, student tuition, and endowments. Secular or independent schools teach the usual academic subjects without promoting any particular religious faith. Some secular and independent schools have religious names but they maintain a distinction between academics and religion. Secular or independent schools are self-funded and financed mainly by student tuition.

Even though private schools are independent and not financed or managed by the government, they still operate under the guidance and supervision of MINEDU. Private schools outnumber public ones 3:1 (Estadística de la Calidad Educativa de Perú, 2009). Private schools are favored over public ones for many reasons such as prestige, social status, quality of education, quality of infrastructure, higher paid teachers, and stricter discipline (Calonico & Nopo, 2007). Most private schools have lower enrollment, smaller class sizes, and lower student to teacher ratios (Calonico & Nopo, 2007). Private school teachers are well paid and more likely to be satisfied with their job. In addition, private schools have a more demanding curriculum and graduation requirements that better prepare students for the future.

Leadership Then and Now

Leadership is a very popular and complex concept. People have always been fascinated by it and have wanted to know what does it take to become a good leader. Many books have been written about the topic and just as many definitions have been generated (Lussier & Achua, 2009). Even though many different leadership theories have emerged throughout the years, most can be classified under the following four categories (a) trait leadership theories that assumed leaders were born rather than made; (b) behavioral leadership theories that focused on what leaders did in the job rather than in their unique abilities; (c) contingency leadership theories that attempted to explain the appropriate leadership style based on the leader, the people he or she lead, and the situation encountered; and (d) integrative leadership theory that combined trait, behavioral, and contingency theories to explain how leaders influence people's behaviors (Lussier & Achua, 2009). Leadership theory has evolved from being focused just on

qualities to taking into account the several variables that are involved in leading an organization.

Administrators and teachers roles in today's schools are very different to what they used to be. While before an organization could operate under command and control, now it needs the active participation of all stakeholders. In recent years *Transformational Leadership* has gained increased popularity. According to Bass and Riggio (2008) transformational leadership attempts to explain the intrinsic motivation and development of all people in an organization. Transformational leadership seems more adequate for today's complex organizations because people are not just looking for an inspirational leader to guide them but for ways to be challenged and empowered that allow them to grow and become better professionals (Bass & Riggio, 2008). Transformational leaders "are those who stimulate and inspire followers to both achieve extraordinary outcomes and, in the process, develop their own leadership capacity" (Bass & Riggio, 2008, p. 3). Leadership does not longer involve just people at the top. As Bass and Riggio (2008) indicate, "Leadership can occur at all levels and by any individual. In fact, we see that it is important to develop leadership in those below" (p. 2). Transformational leaders motivate people to go the extra mile and achieve more than they thought possible. Transformational leaders set high standards, achieve high performance, and have a more committed workforce (Bass & Riggio, 2008).

Transformational leadership is required to deal with the increased complexity, competition, and shifting roles faced by today's organizations (Hacker & Roberts, 2004). Society has become more complex reaching higher levels of interdependency and interconnection causing stress in both the people and the organizations (Hacker &

Roberts, 2004). Technology, communications, and an increase in population have caused the world to shrink generating more competition and demanding higher standards. These fast changes require organizations to implement ongoing learning and planning that continuously improves their processes and practices (Hacker & Roberts, 2004). Furthermore, the competition to attract and retain customers as in the case of private businesses, requires leaders to change their leadership style in order to establish a committed and motivated workforce that can help them improve and sustain the organization (Hacker & Roberts, 2004).

According to Bass and Riggio (2008) there are four components of transformational leadership (a) intellectual stimulation necessary to challenge the status quo and encourage creativity and innovation in the entire organization; (b) individual consideration required to foster relationships and communication in the entire organization; (c) inspirational motivation needed to articulate the vision and help people in the organization feel passionate about achieving its goals; and (d) idealized influence that is essential so leaders can become role models for the entire organization. Transformational leadership causes changes not just in individuals but also in the entire system. It enhances the confidence, motivation, and performance of all people in an organization. It provides a sense of meaning and purpose, emphasizes a shared vision, empowers people, and unites the organization towards achieving common goals (Bass & Riggio, 2008).

School Leadership

Early leadership theory regarded leadership to be synonymous with a person in a position of formal authority (Senge, 2006). A leader was considered a unique individual with special traits. However, that definition ignored the fact that many organizational outcomes are not determined by the leader but by the interaction of everyone in the organization (Lussier & Achua, 2009). According to Weiss and Molinaro (2005) many leaders are unable to understand the interdependency of what they do with the work of others. Many are good functional leaders that rely in their technical expertise but have a disjointed rather than holistic view of the organization. However, as Heifetz (1994) suggests, relying solely on the leader's expertise can be very limiting for an organization. As the world becomes more complex, leaders are confronted with challenges for which their technical expertise is not enough.

Today schools need holistic leaders. Holistic leadership involves thinking about the organization and leadership as a whole. "Holistic leaders are able to balance the dynamic interplay between the integrative and self-assertive tendencies that exist within themselves, within a team, within an organization, and within an entire business" (Weiss & Molinaro, 2005, p. 32). Holistic leaders are systems thinkers who have the ability to see an organization as a dynamic entity where several elements interconnection and interdependence influence its growth and improvement (Senge, 2006). Holistic leaders believe leadership must be embedded in the school community (Weiss & Molinaro, 2005).

Holistic leaders see school leadership as "a broad concept that is separated from person, role, and a discreet set of individual behaviors" (Lambert, 1998, p. 5). In schools,

power and authority needs to be distributed in a new way so the organization can benefit from the combined effort generated by all those who choose to lead (Hargreaves & Fink, 2006; Spillane, 2006). According to Peterson (2001) educational leaders "take care of a myriad of problems, dilemmas, and daily tasks that keep the school functioning" (p. 1). Defining the school's vision, managing curriculum and instruction, promoting a positive climate, fostering healthy school community relations, and serving as change agents are just some of the many responsibilities of a school leader (Marzano et al., 2005). Often, all these responsibilities remain in the hands of one person rather than in the school community.

Schools are too complex for only one person to lead (Bolman & Deal, 2003; Maxwell, 2002). Regrettably, due to circumstances like lack of staff and limited budget, many family-owned private business owners end up in this challenging position and find themselves managing rather than leading their organization. According to Fullan (2001) both leadership and management are needed to run a school. However, the trick is in finding a balance. As Lussier and Achua (2009) suggest, while managers focus on doing things right, leaders focus on doing the right things. Managers are concerned with stability and the best ways to get the job done while leaders place greater concern on innovation. A paternalistic leadership style might work well in the beginning and help establish rules and implement programs. However, an organization's size and age affect its structural shape and character. "Unless growth is matched with corresponding adjustment in roles and relationships, problems inevitably arise" (Bolman & Deal, 2003, p. 59). If we want an organization to grown and thrive we need the participation of the entire school community (Blasé & Blasé, 2001; Lambert, 2003).

Family-Owned Private Schools

Family-owned private businesses are a vital force in most countries economies (Aronoff et al., 2003). These businesses can range from traditional and small to large and corporate. Family-owned private schools are private businesses that are family-owned and controlled. They can range from small to very large, have a less formalized organizational structure, and often do not have to answer to a board of directors or a corporate office (Bowman-Upton, 1991; Geddes, 2009). Family-owned private schools aim to provide services that meet and exceed the needs and demands of students.

Family-owned private schools are a complex dual system. Family members involved in the business are part of both the business and the family (Geddes, 2009). These two systems overlap and often cause conflict because each has its own rules, roles, and responsibilities (Bowman-Upton, 1991). The family system is an emotional system that emphasizes relationships. Entry to this system is by birth and membership is permanent (Geddes, 2009). In contrast, a business system is unemotional and contractually based (Bowman-Upton, 1991). Entry to this system is based on skill and membership is based on performance and rewarded monetarily (Bowman-Upton, 1991). Family systems have their own communication and conflict resolution approach which may be good for a family but not for a business (Geddes, 2009). Conflict is common when roles and responsibilities assumed in one system interfere with the roles and responsibilities of the other (Bowman-Upton, 1991). Dealing with these complex systems along with the business daily operations often prevents the founder from planning for the continuity and success of the family business.

Succession Planning

Despite the rewards of planning and implementing succession, many private business owners often find it easier to live with ambiguity (Aronoff et al., 2003). Private business owners are often busy with daily business operations and end up doing very little formal planning for succession (Rothwell, 2005). Succession ends up being a reactive rather than proactive process, rushed together when it is already unavoidable (Fink, 2010). Furthermore, many family-owned private business often do not develop beyond a one-person operation and are built around the owner's skills and his or her ability to oversee and control everything (Geddes, 2009). These businesses operate at the level of the founder and never develop a system and organization that can succeed without his or her involvement (Geddes, 2009).

Succession can bring continuity or discontinuity to an organization. Planned continuity is considered an ideal succession approach when an organization is working well because it reflects a carefully planned succession plan meant to build in the general direction of the outgoing leader. For this to occur, people inside the organization are trained to follow the leaders' path and build on his or her achievements. Planned discontinuity is often used to transform a failing organization by recruiting an outsider with the required skills to change the leadership direction and transform the institution (Hargreaves & Fink, 2006). In contrast, unplanned continuity and discontinuity usually occur when there is no succession plan and succession ends up being a reactive process rather than a proactive one (Fink, 2010).

Even though is better to have a succession plan, the plan alone is often not enough. Succession planning requires time, effort, and creating a culture of leadership

development across the organization that prepares potential candidates to take over (Hargreaves & Fink, 2006). Leaders often avoid addressing succession planning because it can be very emotionally and intellectually demanding. Succession planning involves thinking about aging, mortality, control, power, ownership, management, and strategic planning, which can be both challenging and overwhelming (Geddes, 2009). Furthermore, often leaders avoid succession because they have no knowledge of how to initiate it and no written plan to follow. Regrettably, having a single person as the guiding force of an organization can cause serious problems when that person leaves (Hargreaves & Fink, 2006). Succession planning is a journey that a business takes into the future. Succession planning is the "deliberate and systematic effort by an organization to ensure leadership continuity" (Rothwell, 2005, p. 40). Succession in a family-owned private business can happen in or outside the family. The business founder may decide to retire, pursue another interests, or open a new venture that requires leaving other people in charge. Regardless of the reason, succession planning needs be proactive to assess and develop potential future leaders and ensure the continuous success of the organization (Rothwell, 2005).

According to Aronoff et al. (2003), "A smooth succession won't happen unless there is a willing, competent and well prepared successor or successor team" (p. 23). Succession planning is different from replacement planning. Replacement planning is about finding backups to fill vacancies in an organization (Rothwell, 2005). Succession planning is about "grooming the talent needed for the future" (Rothwell, 2005, p. 331). Succession planning requires developing an infrastructure that changes leadership from a reactive individualistic style to a proactive consensus oriented one (Fink, 2010).

A review of the literature revealed that succession planning involves several components. According to Rothwell (2005) a successful succession plan needs to (a) assess the needs of the organization, (b) assess the present work requirements in key positions, (c) identify the capacity of people currently in those positions, (d) assess future work requirements in key positions, (e) assess if present talent is prepared for future challenges, (f) establish a leadership development program, and (g) evaluate results.

Similarly, Weis and Molinaro (2005) suggest a successful succession plan has to (a) assess the needs of the organization, (b) identify critical positions, (c) assess current people in those positions to determine weaknesses, (d) identify skills necessary to move the organization forward, (e) implement a leadership development plan, and (f) evaluate outcomes.

Furthermore, Aronoff et al. (2003) believes a successful succession plan involves (a) assessing the needs of an organization, (b) identifying what competencies are necessary for success, (c) assessing people in the organization to see if they possess such competencies, (d) building leadership capacity, and (e) sharing information and results. The literature review shows that alongside assessment and results, all succession plans involve some level of leadership capacity development in the organization. Leadership capacity development helps people acquire the necessary skills or narrow the gap between what they know and what they need to know in order to move the organization forward. Building leadership capacity is not something a leader can do in isolation. Building leadership capacity requires the commitment, collaboration, and active participation of everyone in the organization.

Leadership Capacity

According to Lambert (1998), "Leadership is about learning together, and constructing meaning and knowledge collectively and collaboratively" (p. 5). Teachers and administrators depend on each other to do their jobs. This interdependence makes it impossible for the power of leadership to be located only in one person (Hargreaves & Fink, 2006). Regrettably, most small or medium private business owners have Type A personalities and like to have total control of all situations, which prevents them from relying on a team (Geddes, 2009). "A team provides an environment that empowers people to maximize their performance" (Stowell & Mead, 2007, p. 7). However, relying on a team requires preparation. This preparation involves establishing policies, transferring knowledge, and learning together as the business "shifts from an owner who is the business to a business that is self-sustaining" (Aronoff et al., 2003, p. 12). Changing from a paternalistic top-down leadership style that places all responsibility in a single person to one that encourages everyone's participation and cooperation is very difficult. This change is what Marzano et al. (2005) refer to as second order change or deep change that "alters the system in fundamental ways, offering a dramatic shift in direction and requiring new ways of thinking" (p. 66). Making change happen "requires the energy, ideas, commitment, and ownership of all those implementing it" (Fullan, 2005, p. 55). Distributed or collaborative leadership becomes necessary in order to make change possible.

Distributed or collaborative leadership is "concerned with the co-performance of leadership and the reciprocal interdependencies that shape leadership practice" (Spillane, 2006, p. 58). Distributed leadership is not delegating. Distributed leadership is finding the

best way of doing things by using the talents, expertise, ideas, and effort of everyone in the organization (Spillane, 2006). Distributed leadership makes everyone responsible and accountable for leadership within his or her area. In distributed leadership, not everyone is a decision-maker, but everyone is an expert whose knowledge contributes to the decision-making process. Distributed leadership is about cooperation and trust rather than competition (Spillane, 2006). Leadership becomes a reciprocal process that enables teachers and administrators to work together with shared purpose, commitment, and respect (Senge, 2006). "Distributed leadership develops capacity in others, so they can become as gifted as those who lead them and can build on their achievements" (Hargreaves & Fink, 2006, p. 93). With distributed leadership, the leader does not have to be the jack-of-all-trades because others in the organization can complement the leader's strengths and weaknesses and allow the organization to reach heights not possible otherwise (Maxwell, 2002).

New views of leadership are more inclusive and focused on continual progress. Leadership capacity can be defined as "broad-based skillful participation in the work of leadership" (Lambert, 2003, p. 4) or "the extent to which organizations can optimize their current and future leadership to drive business results and successfully meet the challenges and opportunities of an ever-changing business environment" (Weiss & Molinaro, 2005, p.5). Building leadership capacity requires a shift in culture and the redistribution of power and authority in the organization. "Capacity building involves developing the collective ability, dispositions, skills, knowledge, motivation, and resources, to act together to bring about positive change" (Fullan, 2001, p. 4). All members of the organization need to be involved in working toward the organization's

goals (Smith, 2010). “Principals, teachers, parents, and students are the key players in the work of schooling. When working together, they form a concentration of leadership that is a powerful force in a school” (Lambert, 2003, p. 6). Leadership, by being inclusive, allows for the idea that leaders are not born and that leadership can be learned (Maxwell, 2002; Tichy, 2002). Furthermore, leadership can be taught and administrators and teachers need to work together to achieve this goal (Maxwell, 2002; Tichy, 2002).

A review of the literature revealed that building leadership capacity in an organization takes time and involves several stages. In his book *Organizational Culture and Leadership* Schein (2004) indicates that in order to build leadership capacity the organization needs to go through three stages (a) unfreezing or disconfirmation which causes disequilibrium in the organization’s structure and operation and helps people realize the need for change; (b) cognitive restructuring which helps people acknowledge the need for behavioral change and for working together under the same principles; and (c) refreezing which involves having the time and resources to internalize the change and new knowledge acquired.

Similarly, in her study *Lasting Leadership: A Study of Leadership Capacity in Schools* Lambert’s (2006) indicates building leadership capacity in schools also involves three stages (a) instructive stage which entails a period of organization, focusing, and establishing or initiating structures and processes; (b) transitional stage which involves the process of letting go while still providing continuous support, guidance, and coaching; and (c) high-capacity stage which involves the development of leadership capacity in the organization so teachers can take on more roles and responsibilities. The literature review shows that building leadership capacity in a school is an ongoing

process due to dynamic roles and human relationships that exist in the organization (Weiss & Molinaro, 2005).

Learning communities. Transforming a school into a learning community requires the guidance and support of the leader and the care and involvement of the entire school community (Graham & Ferriter, 2010). Teachers who feel supported in their own learning and classroom practice are more committed and effective than those who do not receive this support (DuFour & Eaker, 1998). Support comes in the form of teacher networks, cooperation among colleagues, and expanded professional roles (DuFour & Eaker, 1998). "The ultimate goal for sustainable leadership in a complex, knowledge-sharing society is for schools to become professional learning communities" (Hargreaves & Fink, 2006, p. 125).

In order for a school to become a learning community, people and ideas need to change. As Hord and Sommers (2008) indicate, "The roles and behaviors of the principal are critical elements in how a school operates as a professional learning community" (p. 27). Leadership is vital for the success of any organization. However, the principal's position as the person with all the knowledge and answers needs to be abandoned for a more approachable position that learns, inquires, explores, and seeks answers along with the teachers (Marzano et al., 2005). Notwithstanding, as Graham and Ferriter (2010) maintain, learning how to work well in a group is not easy. "Managing personalities, creating consensus, and developing team identity are all challenging, emotionally loaded activities that require time and skill to accomplish" (Graham & Ferriter, 2010, p. 70). Learning communities require teamwork and the synergy created by it. Teamwork is the ability to work together toward a common goal that can produce benefits to the people

and the organization (Stowell & Mead, 2007). Good teamwork releases group synergy so that the combined effect of the team contributions far exceeds the sum of its individual parts (Covey, 2004).

A review of the literature revealed that learning communities are synonymous with purposeful communities and high performing teams. A professional learning community (PLC) is a collegial group of connected, highly qualified, and engaged educators driven by change and ongoing action (DuFour & Eaker, 1998). This definition is similar to what Marzano et al. (2005) call a purposeful community. A purposeful community is "one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed-upon processes" (p. 99). Learning communities were created primarily with the idea of ensuring student learning by making U.S. public schools more manageable and effective for teachers in terms of size, collaboration, learning, accountability, and support (DuFour & Eaker, 1998). However, many of its guiding principles can be applied to small family-owned private schools that are trying to build leadership capacity. Learning communities are built around six principles (a) shared vision and values that give purpose, direction, and commitment to the goals people want to achieve; (b) collaborative teams that work together to achieve common goals; (c) collective inquiry that helps to continuously improve and renew the organization; (d) action learning that allows people to learn by doing; (e) continuous improvement that allows people to innovate and become life-long learners; and (f) results that allow people to see how they achieve the vision and common goals (DuFour & Eaker, 1998).

Similarly, Marzano et al. (2005) purposeful communities have four components (a) collective efficacy that allows the team to share the belief that they can improve the organization and make a difference; (b) development and use of all available talents and assets; (c) goals that matter to all community members; and (d) agreed-upon processes that enhance communication and keep members connected to the organization. According to Dufour and Eaker (1998), "What separates a learning community from an ordinary school is its collective commitment to the guiding principles that articulate what people in the school believe and what they seek to create" (p. 25).

Learning communities promote teamwork. "A team is a small number of people with complementary skills, who are committed to a common purpose, set of performance goals and approach for which they hold themselves mutually accountable" (Katzenback & Smith, 1993, p. 112). In their book *The Wisdom of Teams: Creating the High-Performance Organization* Katzenbach and Smith (1993) interviewed hundreds of people in more than 50 teams. Their sample included teams in companies like Motorola, Hewlett-Packard, Operation Dessert Storm, and the Girl Scouts. Their study identified six characteristics of high performing teams (a) shared purpose to help develop direction and commitment while allowing flexibility to establish goals; (b) measurable performance goals to define the collective work, facilitate communication, and keep the team focused on results while offering small wins along the way; (c) manageable size to make the team more effective toward achieving common goals and for holding themselves accountable for results; (d) complementary skills to have the right mix of technical, practical, and interpersonal expertise to address needs; (e) common approach to establish how they will work together to accomplish their purpose; and (f) mutual accountability to provide

commitment and trust and hold people accountable for the team performance. High performing teams have a cohesive structure that releases the collective energy, talent, and creativity of all its members. The literature review shows parallels between learning communities, purposeful communities, and high performing teams. Learning communities, purposeful communities, and high performing teams empower teachers by increasing their level of participation in school decisions by allowing them to plan their own way for achieving school objectives (DuFour & Eaker, 1998). As Blasé and Blasé (2001) state, "True empowerment leads to increased professionalism as teachers assume responsibility and involvement in the decision-making process" (p. 3). This increased level of participation creates a culture of interdependence and interconnection that allows teachers to work together for the continuous benefit of the organization (Graham & Ferriter, 2010).

Quadrant 4 Schools

Building leadership capacity is a long and ongoing process that not only requires a shift in perspective but a great deal of time and persistence to yield results (Maxwell, 2003). To start building leadership capacity in an organization we first need to know where we stand and confront reality (Collins, 2001). "Successful CEO's and managers don't rely on just their own perceptions of how things are" (Smith, 2010, p. 6). A school-wide assessment allows leaders to learn about school problems, strengths, and weaknesses (Smith, 2010). The data obtained from the assessment help leaders plan the agenda to build leadership capacity and "serves as a benchmark against which to measure progress overtime" (Smith, 2010, p. 5).

According to Lambert (2003) schools can fall in any of the 4 Quadrants of the *Leadership Capacity Matrix* (see Appendices C and D for English and Spanish version). These quadrants or dimensions indicate the school's breath and depth of participation in the work of leadership—the higher the quadrant, the higher the leadership capacity of the school. Although some schools fit neatly in each of the 4 Quadrants, several schools have a few elements of each. Schools with high leadership capacity are known as Quadrant 4 schools. Quadrant 4 schools develop high leadership capacity by focusing in two areas (a) participation, and (b) skillfulness. Participation entails involving all stakeholders in the work of leadership so they can learn together and share a sense of purpose. Skillfulness involves the stakeholders' understanding and proficiency in the work of leadership so their work is focused, productive, and effective (Lambert, 1998, 2003).

In Quadrant 4 schools principals are capable of collaboration and inclusive leadership. The principal encourages the stakeholders' participation and allows them to affect the norms, roles, and responsibilities of the school (Lambert, 2003). In Quadrant 4 schools stakeholders share a vision, surface, clarify, and define values and beliefs, inquire about the effectiveness of their practice, construct meaning and knowledge together, and frame new directions and actions (Lambert, 2003). In Quadrant 4 schools, people feel they are part of a professional community where roles and responsibilities overlap, with each person taking personal and collective responsibility for the work of leadership and for progressively improving student achievement (Lambert, 2003).

Quadrant 4 schools involve six critical characteristics that need to be mastered with a high level of participation and skillfulness (a) broad-based, skillful participation in the work of leadership; (b) shared vision resulting in program coherence; (c) inquiry-

based use of data to inform decisions and practice; (d) roles and actions reflect broad involvement, collaboration, and collective responsibility; (e) reflective practice that leads consistently to innovation; and (f) high or steadily improving student achievement

Broad-based, skillful participation in the work of leadership. Traditional leadership theory granted power and authority to a single person who was the center of reform and moved the organization forward unassisted (Lussier & Achua, 2009). Traditional leadership theory assumed people were followers who lacked personal vision, desire, and ability for change and improvement (Senge, 2006). New views of leadership are more inclusive. Broad-based, skillful participation in the work of leadership is the core of leadership capacity (Lambert, 1998, 2003). In schools with this characteristic authority is distributed and all those involved are skillful in their work. In order to achieve a broad level of participation, the school needs to provide (a) structures and processes for participation, and (b) opportunities to become skillful participants (Lambert, 2003). As Stowell and Mead (2007) state, "Organizations simply can't function well without the cooperation of their people" (p. 3). A school needs the participation of all stakeholders so all of them can be represented in the school decisions and practices. A school also requires stakeholders to be skillful in the work of leadership so their collaborative efforts can be focused, productive, and effective for the organization (Lambert, 2003). As Maxwell (2003) indicates, "If you want people to take responsibility you need to truly give it to them" (p. 67). Without opportunities to participate in the work of leadership, stakeholders cannot become skillful, and leadership capacity cannot be achieved. "Good leaders foster leadership at other levels. Leadership

at other levels produces a steady stream of future leaders for the system as a whole" (Fullan, 2001, p. 10).

Organizations can improve and ensure successful succession and sustainability by allowing all members of the school community to work together in a collaborative culture (Senge, 2006). Broad-based and skillful participation in the work of leadership allows for continuity and direction within an organization even if the leader leaves (Hargreaves & Fink, 2006). Stakeholders learn together with a sense of purpose fueled by collaboration, commitment, and collective responsibility. Furthermore, broad-based and skillful participation in the work of leadership allows the school to use the talents, resources, and abilities of all stakeholders for the benefit of the organization (Lambert, 2003).

Shared vision resulting in program coherence. Educational leadership research is very clear about the importance of developing a shared vision to provide organizations with a united sense of meaning and purpose (Bolman & Deal, 2003; Collins, 2001; Covey, 2004; DuFour & Eaker, 1998; Fullan, 2005; Hargreaves & Fink, 2006; Kotter, 1996; Lambert, 1998, 2003; Marzano et al., 2005; Maxwell, 2002; Schein, 2004; Senge, 2006). A vision is a clear description of a desired outcome that inspires, energizes, and helps people create a mental picture of their goal (Deal & Peterson, 1999). "You cannot buy, beg or borrow a vision; it has to come from within" (Maxwell, 2002, p. 54). A vision created mainly by a leader without the participation of the stakeholders needs to be "sold" and "bought into" creating compliance rather than commitment (Lambert, 2003). In contrast, "a shared vision based upon the core values of participants and their hopes for the school ensures commitment to its realization" (Lambert 2003, p. 6). A shared vision is needed to "bind people together around a common identity and sense of destiny"

(Senge, 2006, p. 9). A clearly articulated vision that includes values shared by everyone in the school provides meaning, unleashes productivity, and uplifts the spirits of everyone in the organization (Covey, 2004).

Instead of selling a vision, you want to enroll people in it. Enrollment is the process of becoming part of something by choice (Senge, 2006). As Zander and Zander (2000) state, "Enrolling is not about forcing, cajoling, tricking, bargaining, pressuring, or guilt-tripping someone into doing something your way. Enrollment is the art and practice of generating a spark of possibility for others to share" (p. 125). According to Graham and Ferriter (2010) a shared vision can only be developed through continuous dialogue among all stakeholders. Developing a shared vision offers a picture of the future, clarifies direction, and creates ownership and commitment (Kotter, 1996). "A shared vision is vital for the learning organization because it provides the focus and energy for learning" (Senge, 2006, p. 192). When a vision is shared, "people excel and learn not because they are told to, but because they want to" (Senge, 2006, p. 9). According to Bolman and Deal (2003), "People's skills, attitudes, energy and commitment are vital resources that can make or break an enterprise" (p. 114). No business can run successfully without a committed workforce. "There is a world of difference between compliance and commitment" (Senge, 2006, p. 205). A committed person brings an energy, passion, and excitement that cannot be generated by a compliant person. A committed person does not just play the game. A committed person is responsible for the game and would do anything to win it (Senge, 2006). "A group of people committed to a common vision is an awesome force" (Senge, 2006, p. 205). A shared vision is a unifying force that allows

participants to work collaboratively providing coherence to programs and learning practices (Lambert 2003).

Inquiry based use of data to inform decisions and practice. Critical reflection about professional practice allows organizations to take a look at their reality, question assumptions, articulate the problem, learn from past experiences, and improve their performance (Anderson, Herr, & Nihlen, 1994; Reid, 2004; Senge, 2006). Change "requires a real sense of inquiry, a genuine curiosity about limiting forces" (Senge, et al., 1999, p. 10). Inquiry involves dialogue, questioning, discussion, and knowledge construction (Preskill & Torres, 1999). One of the most valuable uses of inquiry in schools is to inform decision-making for action (Reid, 2004). "Inquiry helps organization members reduce uncertainty, clarify direction, build community, and ensure that learning is part of everyone's job" (Preskill & Torres, 1999, p. 2). Inquiry and generating shared knowledge become the energy behind Quadrant 4 schools. Quadrant 4 schools practice "inquiry that is collective, collaborative, self-reflective, critical, and undertaken by all its participants" (Anderson et al., 1994, p. 3). Teachers, administrators, students and parents examine data to find answers and to pose new questions. Together they reflect, discuss, analyze, plan, and act addressing issues in a collaborative way.

Although inquiry can be done in isolation, it is more powerful and effective when it is done in collaboration with others in the organization (Reid, 2004). In schools with low leadership capacity, access and control of information is often used as a source of power. "Information travels in a single direction, from the top to the bottom, without engaging in dialogue or negotiating new ways of thinking" (Lambert, 2003, p. 6). In contrast, people in schools with high leadership capacity work together to gather

information and make collaborative decisions based on that data. “Questions are posed, evidence is collected and reflected upon, and decisions and actions are shaped around the collected findings” (Lambert, 2003, p. 6). In a school with high leadership capacity, the information gathered through inquiry influences the decisions and practices. Inquiry, and the increased communication generated by it, reinforces the relationship between stakeholders who together analyze the data obtained in order to address the school needs (Anderson et al., 1994; Reid, 2004). “To continue to succeed, organizations need more inquiry. They need less command and control by a few and more exploration of possibilities among many” (Whitney & Trosten-Bloom, 2003, p. 3). Integrating inquiry to professional practice by gathering and analyzing data and relating it to what we already know about schools, allows organizations to learn, make informed decisions, and grow (Reid, 2004).

Roles and actions reflect broad involvement, collaboration, and collective responsibility. A high level of leadership capacity brings change in people’s self-perception, roles, and actions. In schools with high leadership capacity teachers no longer see themselves as being responsible only for their job but for the school as a whole (Lambert, 1998). As Bolman and Deal (2003) state, “Clear, well understood roles and relationships and adequate coordination are key to how well an organization performs” (p. 44). In schools with high leadership capacity roles blend and evolve. Duties that were only performed by the principal can be performed by several people in the organization (Lambert, 1998). “As roles change, relationships change” (Lambert, 1998, p. 21). Lambert (2003) believes that in a school with high leadership capacity, teachers and administrators start to see each other in a different way and recognize skills and resources

among them that they never noticed before. This new relationship encourages unity and collaboration among them and the entire school community.

According to Lambert (2003), "Collaboration and the expansion of roles lead to a sense of collective responsibility for all students in the school, the broader school community, and the education profession as a whole" (p. 7). People who work together with the same vision assume ownership and responsibility for group decisions (Maxwell, 2002). Collaborative cultures provide energy and support sustainability (Fullan, 2005). As Maxwell (2001) states, "Nothing of significance was ever achieved by an individual acting alone. Look below the surface and you will find that all seemingly solo acts are really team efforts" (p. 3). "Individuals play the game, but teams win championships" (Maxwell, 2003, p. 6).

Reflective practice that leads consistently to innovation. Learning cannot take place without reflection. Reflection is an essential part of the learning process and necessary for behavioral change (Schon, 1995). Reflection allows people to review their ideas and experiences and gain a better and deeper understanding of what they do in order to become more effective (Preskill & Torres, 1999; Schon, 1995). Reflective practice involves thoughtfully considering your own experiences in applying knowledge to practice (Schon, 1995). In schools with high leadership capacity reflection is linked to action. Reflective practice and the integration of theory and practice provide deep understanding and allow people to become more skillful (Schon, 1995). Reflecting by thinking, writing, clarifying, and questioning allows people to work through issues, learn from mistakes, and identify better ways of dealing with a problem (Preskill & Torres, 1999).

Reflection allows organizations to challenge the status quo and create new knowledge that result in deep learning (Preskill & Torres, 1999). Deep, double-loop learning makes organizations question existing beliefs and assumptions (Argyris & Schon, 1992). Furthermore, reflection enables organizations to consider and reconsider how they do things, which leads to new and better approaches to do their work (Lambert, 2003).

High or steadily improving student achievement. High student achievement is the main goal of schools (Lambert, 1998, 2003). In a school with high leadership capacity student achievement is much more than just test scores. In Quadrant 4 schools student achievement is holistic and includes not just academics but self-knowledge, social maturity, personal resiliency, and civic development (Lambert, 2003). High leadership capacity has a positive impact on student learning (Marzano et al., 2005). "Learning and leading are firmly linked: a school with high leadership capacity develops students who both learn and lead" (Lambert, 2003, p. 54). Schools with high leadership capacity promote collective responsibility for student learning (Lambert 1998, 2003). Collective responsibility for student learning results in higher levels of student achievement because all stakeholders are committed to improve the school and ensure that all students learn (DuFour & Eaker, 1998). Furthermore, collective responsibility, and the collaboration generated by it, allows the school to use the talents, resources, and abilities of all stakeholders for the benefit of the students and the organization (Lambert, 2003). "Student learning factors—academic performance, resiliency, and equitable outcomes for all students—is at the heart of leadership capacity; indeed it is the compelling content of leadership" (Lambert, 2003, p. 7).

Sustainability

Sustainability is how organizations move into the future and endure over time (Fullan, 2005). Organizations that endure overtime have a collaborative culture that nurtures the development of leaders at all levels (Tichy, 2002). Building leadership capacity is the key to successful succession and sustainability in a school (Fullan, 2005). Building leadership capacity creates layers of leaders who are prepared to take over and ensure the organization's sustainability and success when the leader leaves (Fullan, 2005; Hargreaves & Fink, 2006).

A review of the literature revealed that several elements are required for the sustainability of an organization. In his book *Leadership and Sustainability: System Thinkers in Action* Fullan (2005) outlines eight practices he considers essential for the sustainability of an organization (a) public service with a moral purpose to help the organization raise the bar and close the gap of student learning; (b) commitment to becoming learning organizations capable of continuous improvement; (c) capacity building through networks so administrators and teachers can collaborate, learn, and contribute to the school improvement; (d) intelligent accountability and vertical relationships to have a coherent system that is always connecting the dots, capturing new ideas, and making complexity simpler; (e) deep learning for continuous improvement, adaptation, and collective problem solving; (f) commitment to short-term and long-term results so people gain confidence and are willing to invest their time in pursuing long-term goals; (g) cyclical energizing to keep the enthusiasm and avoid burn out; and (h) leadership at all levels to make sustainability a reality.

Similarly, in their book *Sustainable Leadership* Hargreaves and Fink (2006) outline seven principles for sustainability (a) sense of purpose focused on learning that provides the energy and conviction to go beyond; (b) leadership development for succession so people are prepared to take over; (c) distributed leadership across the organization so everyone feels empowered and has the opportunity to lead and learn; (d) leadership that develops the talents in others to improve not just the organization, but the people and the system as a whole; (e) cohesion and diversity that allow a variety of talents to work together effectively and encourage innovation; (f) continuous learning and renewal that moves the organization forward; and (g) conservation that allows organizations to learn from the past to create a better future by developing resiliency to help it endure overtime. The literature review shows that sustainable organizations are learning organizations that build leadership capacity at all levels.

Regrettably, as Schein (2004) explains, most transformational change programs fail because they do not provide eight conditions that are vital for its success (a) a compelling vision that involves the share believe that the organization will be much better implementing the new paradigm; (b) formal training that involves mentoring and training on teamwork provided by experts or by attending workshops and seminars; (c) involvement of the learner because there is no better way to learn than by doing things and interacting with other learners; (d) informal training in order to ground the new thinking and behavior with motivational talks, materials, and books; (e) practice, coaching and feedback received by the interaction with other team members, teachers, workshops, and through team meetings; (f) positive role models found in people with experience who have learned and can show the possibilities; (g) support groups in which

learning problems can be discussed; and (h) a reward and discipline system and organizational structures consistent with the new way of thinking and working in order to provide coherence and embrace the new paradigm.

Similarly, in his book *The Six Secrets of Change: What the Best Leaders Do To Help Their Organizations Survive and Thrive* Fullan (2008) indicates that there are six conditions for sustainable change (a) investing in the development of staff members so they can learn and find meaning in their work and in their relationship to their peers and the organization; (b) connecting peers with purpose that can serve as the social glue that helps them work together effectively; (c) capacity building to acquire new skills, motivate, and accomplish significant improvements; (d) learning together and applying what is learned on the workplace; (e) transparency of results to incite positive pressure and action; and (f) continuous learning to allow the whole organization to learn by increasing people's sense of meaning and motivation. The literature review shows that sustainability requires the organization to establish a system and a structure aligned to support the overall strategy (Smith, 2010). Sustainable change and building leadership capacity requires teachers and administrators to work in a reciprocal and collaborative structure of continuous learning in order to transform the organization (Lambert, 2003; Senge, 2006).

Building leadership capacity and sustainability are not fixed destinations, but an ongoing journey of development (Maxwell, 2002; Senge, 2006). Organizations with high leadership capacity are learning organizations that can sustain themselves over time (Senge, 2006). According to Senge (2006), "A learning organization is an organization that is continually expanding its capacity to create its future" (p. 14). Learning

organizations need to foster five disciplines (a) personal mastery to continually clarify, deepen the vision, and focus energy in what they want to achieve; (b) mental models to uncover assumptions, generalizations, and ideas of the world and examine them before taking action; (c) shared vision to provide a shared picture of what they want to create; (d) team learning to align and develop the capacities necessary to achieve what they want; and (e) systems thinking to integrate all the other disciplines and have the ability to understand and address the whole and examine the interrelationship and interdependence between the parts. All of these elements are central to the work of leadership capacity.

Schools are often challenged by elements that prevent their systemic improvement. Elements like an organizational structure build around hierarchical authority, large size that prevent people from establishing collegial relationships, and teachers who are often prepared to teach subjects not students make looking at a school as a fragmented rather than systemic entity (Lambert, 1998). However, system thinking is critical for the succession and sustainability of a school. “Leadership for today’s world requires enlarging one’s capacity to see the whole board, as in a chess match— to see the complex, often volatile interdependence among the multiple systems that constitute the new commons” (Parks, 2005, p. 3). The properties of the parts can only be understood from the dynamics of the whole. If we look at school elements as separate and approach them as such we often come up with short-term quick fixes that do little or nothing to address the real problem (Senge, 2006). Building leadership capacity, succession, and sustainability are elements that are deeply interconnected and interdependent (Fullan, 2005). When collaborative leadership is embedded in the organization as a whole, there is a greater potential for successful succession and sustainability (Fullan, 2005; Hargreaves

& Fink, 2006; Lambert, 2003). As Bolman and Deal (2003) indicate, "Organizations need to invest in people on the premise that a highly motivated and skilled workforce is a powerful competitive advantage" (p. 132). "The ultimate test of success for an organization is not whether it can win today but whether it can keep winning tomorrow and the day after" (Tichy, 2002, p. 3). By building leadership capacity in a school we are not only improving the organization but also ensuring that it endures and succeeds overtime.

Summary

A review of the literature examined leadership theory evolution from authoritarian to transformational and its impact in school leadership. It also studied the intricacies of leading a family-owned private school. The review of the literature cited the work of educational and business leadership experts who support the idea that leadership should be more inclusive and that organizations must undergo changes in order to allow the distribution of power and authority for building leadership capacity at all levels. The review of the literature also examined the importance of the leader in promoting a culture of distributed leadership that develops teacher leaders. Furthermore, the literature review examined the framework for Lambert's (2003) six characteristics of Quadrant 4 schools and how it connects to building leadership capacity for the successful succession and sustainability of an organization.

The common themes found in the review of the literature indicated that building leadership capacity for successful succession and sustainability in a school requires:

- Transformational leadership to provide meaning and purpose, emphasize a shared vision, empower people, and unite the organization towards achieving common

goals by providing (a) intellectual stimulation, (b) individual consideration, (c) inspirational motivation, and (d) idealized influence (Bass & Riggio, 2008; Hacker & Roberts, 2004).

- Holistic leaders who are system thinkers with the ability to see the organization as a dynamic entity where several elements interconnection and interdependence influence its growth and improvement (Heifetz, 1994; Lambert, 2003; Senge, 2006; Weiss & Molinaro, 2005).
- Leadership and management because they are both needed to run a school. Managers are concerned with stability and the best ways to get things one, while leaders are more concerned with innovation. The trick is in finding a balance (Fullan, 2001; Lussier & Achua, 2009).
- Succession planning because is a journey a business takes into the future that requires time, effort, and creating a culture of leadership development across the organization that prepares potential candidates to take over (Aronoff et al., 2003; Fink, 2010; Geddes, 2009; Hargreaves & Fink, 2006; Rothwell, 2005; Weiss & Molinaro, 2005).
- Change to alter the system in fundamental ways. Change shifts direction and requires new ways of thinking and the energy, ideas, and commitment of all the people implementing it (Fullan, 2008; Lambert, 2003; Senge et al., 1999; Schein, 2004).
- Leadership capacity to learn together and construct knowledge collectively and collaboratively (DuFour & Eaker, 1998; Fullan, 2008; Graham & Ferriter, 2010; Hargreaves & Fink, 2006; Hord & Sommers, 2007; Katzenback & Smith, 1993;

Lambert 1998, 2003; Marzano et al., 2005; Maxwell 2001; Smith, 2010; Stowell & Mead, 2007).

- Distributed leadership to find the best way of doing things by using the talents, expertise, and ideas of everyone in the organization. Distributed leadership develops capacity in others so they can become as gifted as the people who lead them and build on their achievements (Blasé & Blasé, 2001; Bolman & Deal, 2003; DuFour & Eaker, 1998; Fullan, 2005; Hargreaves & Fink, 2006; Lambert 1998, 2003; Marzano et al., 2005; Maxwell, 2002; Schein, 2004; Senge, 2006; Smith, 2010; Spillane, 2006; Tichy, 2002).
- Teamwork to have a group of connected, qualified, and engaged educators who are driven by change and ongoing action guided by (a) shared purpose, (b) measurable goals, (c) manageable size, (d) complimentary skills, (e) common approach, and (f) mutual accountability (DuFour & Eaker, 1998; Fullan, 2008; Graham & Ferriter, 2010; Hargreaves & Fink, 2006; Hord & Sommers, 2007; Katzenback & Smith, 1993; Lambert 1998, 2003; Marzano et al., 2005; Maxwell 2001; Smith, 2010; Stowell & Mead, 2007).
- Teacher empowerment to allow teachers to contribute their talents, energy, and creativity for the benefit of the entire organization (DuFour & Eaker, 1998; Fullan, 2008; Graham & Ferriter, 2010; Hargreaves & Fink, 2006; Hord & Sommers, 2007; Katzenback & Smith, 1993; Lambert 1998, 2003; Marzano et al., 2005; Maxwell 2001; Smith, 2010; Stowell & Mead, 2007).
- Shared vision to bind people together, offer a picture of the future, clarify direction, and create ownership and commitment in the organization (Blasé &

Blasé, 2001; Bolman & Deal, 2003; Deal & Peterson, 1999; Fullan, 2005; Graham & Ferriter, 2010; Hargreaves & Fink, 2006; Lambert 1998, 2003; Marzano et al., 2005; Maxwell, 2002; Schein, 2004; Senge, 2006; Smith, 2010; Spillane, 2006; Tichy, 2002; Zander & Zander, 2000).

- Inquiry and reflective practice to take a look at the organization's reality, question assumptions, articulate the problem, and learn from past experiences in order to improve performance (Anderson et al., 1994; Argyris & Schon, 1992; Lambert, 1998, 2003; Preskill & Torres, 1999; Reid, 2004; Schon, 1995; Whitney & Trosten-Bloom, 2003).
- Systems thinking to develop leadership and a commitment to becoming a learning organization capable of ongoing improvement that can endure over time (Bolman & Deal, 2003; Fullan, 2005; Hargreaves & Fink, 2006; Lambert 1998, 2003; Maxwell, 2002; Parks, 2005; Senge, 2006; Smith, 2010; Spillane, 2006; Tichy, 2002).

Chapter 3: Methodology

This chapter discusses the methodology of this study by explaining its design, the population and sample, instrumentation, content validity and reliability, researcher bias, human subjects considerations, administration of the survey, and data analysis.

Restatement of the Problem

For the past 3 years, SCM has experienced several changes. In order to build leadership capacity SCM started to build trust, redesign jobs, change its organizational structure, and create a learning culture which has helped the school shift from an authoritarian leadership style that relied heavily on one person to a more collaborative leadership style that encourages the participation of all the stakeholders (Lambert, 2003; Maxwell, 2002). Nevertheless, the time demands of implementing all these changes left the school without the time and ability to assess if they have improved the organization. In order to establish the effectiveness of the changes and because succession at SCM is inevitable due to the impending leaders' departure from the school, SCM needs to establish whether or not the changes that have been implemented are working by assessing the leadership capacity of the organization.

Restatement of the Purpose of the Study

The purpose of this study is to assess and better prepare SCM for succession. This study examined the perceptions of SCM teachers and administrators in regard to Lambert's (2003) six characteristics of Quadrant 4 schools. This study was conducted in order to determine SCM level of readiness for successful succession and sustainability by establishing to what degree are Lambert's (2003) six characteristics of Quadrant 4

schools commonly practiced at SCM as perceived by teachers and administrators in the school.

Lambert (2003) states that Quadrant 4 schools are schools with a high level of leadership capacity that exhibit six critical characteristics (a) broad-based, skillful participation in the work of leadership; (b) shared vision resulting in program coherence; (c) inquiry-based use of data to inform decisions and practice; (d) roles and actions that reflect broad involvement, collaboration, and collective responsibility; (e) reflective practice that leads consistently to innovation; and (f) high or steadily improving student achievement. Teachers and administrators at SCM were surveyed to determine their perceptions of Lambert's (2003) six critical characteristics of Quadrant 4 schools in order to establish SCM level of readiness for successful succession and sustainability.

Research Questions

This study was guided by the following four research questions:

1. To what degree are Lambert's (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by teachers in the school?
2. To what degree are Lambert's (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by administrators in the school?
3. To what extent, if at all, is there agreement between the perceptions of teachers and administrators in the school regarding Lambert's (2003) six characteristics of Quadrant 4 schools?
4. What are SCM school-wide needs regarding leadership capacity based on Lambert's (2003) six characteristics of Quadrant 4 schools?

Design of the Study

For the past 3 years, SCM has used Lambert's (2003) *Leadership Capacity for Lasting School Improvement* book as a blueprint to try to build leadership capacity in the school and prepare the organization for successful succession and sustainability. SCM teachers and administrators have been working hard building trust redesigning jobs, and changing the organizational structure of the school by becoming very familiar with Lambert's (2003) work, particularly with her *Leadership Capacity Matrix* (see Appendices C and D for English and Spanish version). Nevertheless, the time demands of implementing all these changes left the school without the time and ability to assess if they have improved the organization. In order to establish the effectiveness of the changes and because succession at SCM is inevitable due to the impending leaders' departure from the school, SCM needs to establish whether or not the changes that have been implemented are working by assessing the leadership capacity of the school.

This is a descriptive mixed methodology study conducted using Lambert's (2003) *Leadership Capacity School Survey* (LCSS) (see Appendices E and F for English and Spanish Version). Both quantitative and qualitative methods were used and collected concurrently using the same instrument. A mixed method design was employed because "it uses separate quantitative and qualitative methods as a means to off-set the weaknesses inherent within one method with the strengths of another method" (Creswell, 2003, p. 217). A mixed methodology design provided more data that allowed the researcher to have multiple views of the research problem and use inductive and deductive thinking in the study of the research problem (Creswell, 2003). A descriptive research design was used because this study attempted to identify the characteristics of a

phenomenon. “Descriptive research examines a situation as it is. It does not involve changing or modifying the situation under investigation, nor is it intended to determine cause-and-effect relationships” (Leedy & Ormrod, 2005, p. 179). The researcher attempted to “understand an experience from the participants point of view” (Leedy & Ormrod, 2005, p. 144). In the case of this study, the research attempted to identify and describe SCM level of readiness for successful succession and sustainability by establishing to what degree are Lambert’s (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by teachers and administrators in the school.

Quantitative and qualitative data were collected concurrently in two different sections of the same survey. Quantitative data (Part I) were collected using Lambert’s (2003) LCSS (see Appendices E and F for English and Spanish version). Written permission by the Association for Supervision and Curriculum Development (ASCD), the publishers of Lambert’s LCSS, was granted to the researcher in order to use and reproduce the survey (see Appendix G). The LCSS was designed to assess the leadership capacity of a school. The LCSS uses a 5-point Likert scale with 30 items that are clustered according to Lambert’s (2003) six characteristics of Quadrant 4 schools. Qualitative data (Part II) were collected by restating each of Lambert’s (2003) six characteristics of Quadrant 4 schools and asking SCM teachers and administrators for things the school is currently doing well and things the school still needs to do better in order to reflect each of Lambert’s (2003) six characteristics of Quadrant 4 schools.

The data for this study came from a single private school in Lima, Perú with 450 students and 50 full-time staff members. Teacher perceptions of leadership capacity were

limited to SCM teachers from Preschool to 12th Grade. Administrator perceptions of leadership capacity were limited to SCM administrators.

This study was limited to the opinions and perceptions of a group of teachers and administrators in a private school. A purposive sampling method was used and limited to teachers and administrators at SCM. The responses relied on the honesty and accuracy of the teachers and administrators who participated in the study. This is not a representative sample of all private schools; therefore, there may be some inherent bias in the survey data. As a result, caution should be used in generalizing the results to private schools outside of SCM.

Population and Sample

The sample size for this study was determined by the number of teachers and administrators at SCM. The population consists of 50 educators, 8 administrators and 42 teachers. SCM teachers and administrators were asked to voluntarily participate in the study and provided with an unmarked envelope that contained a cover letter and an informed consent form that explained the study (see Appendices H and I for English and Spanish version), as well as a copy of the anonymous survey (see Appendices E and F for English and Spanish version). Only SCM teachers and administrators who wished to participate in the study completed the anonymous survey and dropped it off in a sealed box that was located in the reception area of the school.

Instrumentation

The researcher used one instrument, Lambert's (2003) LCSS (see Appendices E and F for English and Spanish version) to collect quantitative and qualitative data concurrently. Quantitative data (Part I) were collected in order to assess the leadership

capacity of SCM. Lambert's (2003) LCSS uses a 5-point Likert scale with 30 items that are clustered according to Lambert's (2003) six characteristics of Quadrant 4 schools:

1. Broad-based, skillful participation in the work of leadership
2. Shared vision resulting in program coherence
3. Inquiry-based use of data to inform decisions and practices
4. Roles and actions that reflect broad involvement, collaboration, and collective responsibility
5. Reflective practice that leads consistently to innovation
6. High or steadily improving student achievement

The Likert scale allowed the researcher to obtain the participants degree of agreement, providing answers in the form of coded data that are comparable and can be manipulated (Leedy & Ormrod, 2005). The 5-point Likert scale for responses included:

1. We do not do this at our school
2. We are starting to move in this direction
3. We are making good progress here
4. We have this condition well established
5. We are refining our practice in this area

Participants marked their responses based on their perceptions of current practices in the school regarding Lambert's (2003) six characteristics of Quadrant 4 schools.

Qualitative data (Part II) were collected in order to increase the depth of the study. The qualitative portion (Part II) of the study provided additional information to either corroborate or contradict the quantitative data (Part I) when drawing conclusions (Creswell, 2003). The qualitative portion (Part II) of the survey was created by restating

each of Lambert's (2003) six characteristics of Quadrant 4 schools and asking participants to mention things SCM is currently doing well and things SCM still needs to do better, in order to reflect each of Lambert's (2003) six characteristics of Quadrant 4 schools.

Content Validity and Reliability

According to Lambert (L. Lambert, personal communication, May 25, 2010), the LCSS was designed to assess the leadership capacity of a school in order to bring awareness and dialogue to the organization based on the information obtained. The intent of the survey is to discover areas of growth in leadership capacity in a school, rather than to rank the school in any way. Lambert (L. Lambert, personal communication, May 25, 2010) indicated that although she did not conduct formal validity and reliability studies on the original LCSS, the LCSS was developed over a long period of time with the help of five groups of hundreds of graduate students, principals, and teachers from several educational organizations. Lambert (L. Lambert, personal communication, May 25, 2010) said she developed categories she considered important based on her years of experience researching and writing about leadership capacity and constructivism, as well as from her own dissertation. She shared these categories with the groups and asked them to formulate questions based on each of them. The groups used the LCSS informally for a period of time providing feedback. This feedback helped Lambert modify and improve the LCSS. After those modifications and improvements, the LCSS was given to five experts in the field of education and school leadership who also provided feedback. The experts' feedback led to even more modifications and improvements. According to Lambert (L. Lambert, personal communication, May 25, 2010) the LCSS went through at

least ten incarnations of editing and changes before being included in her *Building Leadership Capacity in Schools* (1998) book. After her first book was printed, four groups of hundreds of graduate students, principals, and teachers continued to work with the LCSS providing feedback. Their feedback helped Lambert refine and modify the LCSS for the *Leadership Capacity for Lasting School Improvement* (2003) book. One of the most noticeable modifications is that the 1998 version of the LCSS contained only five critical characteristics of Quadrant 4 schools, whereas, the 2003 revision contains six. "Shared vision resulting in program coherence" was an addition to the 2003 revision of the LCSS.

Furthermore, throughout the years several people have written dissertations and theses on leadership capacity and used the LCSS to assess the leadership capacity of schools. Some dissertations (Combs, 2007; Pierce, 2007; Scoggins, 2008) have conducted validity and reliability studies on the LCSS that involved pilot studies with a large number of teachers and administrators. The pilot studies included reliability (Test-retest, Internal Consistency) and validity (Face, Content) studies (Litwin, 1995). The pilot studies established the reliability of the LCSS by showing consistency in the information collected. The pilot studies also determined the content validity of the LCSS showing a strong relationship between the items and the content knowledge being measured which is representative of a larger body of knowledge and skills (Combs, 2007; Litwin, 1995; Pierce, 2007; Scoggins, 2008). As a result, the LCSS can be used to assess the leadership capacity of a school.

Since the participants of this study lived in Lima, Perú where the primary language spoken is Spanish, Lambert's LCSS (see Appendix E) was translated into

Spanish (see Appendix F). In order to translate the LCSS into an equivalent survey instrument, the LCSS was translated into Spanish by a professional translating service. The goal was to produce a Spanish version of the LCSS that provided the closest translation possible while maintaining the meaning of the English version. The translation process included three steps (a) the English version was translated into Spanish by a native Spanish speaker; (b) the Spanish translation was then reviewed by another native Spanish speaker for accuracy; and (c) the Spanish translation was then reviewed by a native English speaker to confirm that no contextual errors occurred.

Researcher Bias

Researcher bias can exist when the analysis of the research data is influenced by the preconceptions of the researcher (Leedy & Ormrod, 2005). In this study, the researcher is co-owner and administrator of SCM. Furthermore, the researcher had pre-existing relationships with all of the participants through daily school interaction. Because of possible researcher bias, the researcher remained aware and cognizant of researcher bias throughout the study. The researcher attempted to minimize the effects of researcher bias by understanding how prior experiences and preconceptions may influence participants during the survey as well as during data analysis (Creswell, 2003). In order to reduce or eliminate researcher bias and provide the study participants with complete anonymity the researcher filed an *Application for Waiver or Alteration of Informed Consent Procedures* with IRB in order to remove the signature line from the informed consent form (see Appendices H and I for English and Spanish version). Furthermore, the researcher conducted an anonymous survey because that data collection

approach was more likely to acquire genuine input than an interview due to the researcher's personal involvement with the school and staff.

Human Subjects Considerations

This study complies with all federal and professional standards for conducting research with human subjects. The researcher applied to the IRB for an exempt review process. That method was chosen because this study fits into category 45 CFR 46.101b for exemption and presents minimal risk to the participants, as outlined in Appendix B of the Investigator's Manual found on the Pepperdine University website (Pepperdine University, 2009).

The formal exempt application for IRB approval was submitted to Dr. Dough Leigh, Chairperson, Graduate and Professional School IRB for Pepperdine University. Upon review of the exempt application, the IRB determined that the study met the federal requirements for exemption and approved the proposed research protocol (see Appendix L). The approved protocol number assigned to the study was O0910M09. In addition to the IRB exempt application, the researcher applied to IRB for a *Waiver or Alteration of Informed Consent Procedures* requesting to remove the signature line in the informed consent form (see Appendices H and I for English and Spanish version) in order to ensure the participants anonymity and reduce or eliminate researcher bias. The researcher was granted this authorization and allowed to remove the signature line in the informed consent form (see Appendices H and I for English and Spanish version).

This study was limited to a small group and the use of a validated survey instrument (Pepperdine University, 2009). Any potential risk to the participants was discussed in the cover letter and informed consent form (see Appendices H and I for

English and Spanish version) and minimized or eliminated by anonymous record keeping and reporting of responses. This study did not involve the participation of any protected groups. The only potential risks anticipated for participants were fatigue, boredom, and imposition on the participant's time. In order to minimize these risks, participation in the survey was voluntary. SCM teachers and administrators were provided with an unmarked envelope that contained a cover letter and an informed consent form (see Appendices H and I for English and Spanish version) that explained the study, ensured anonymity, and informed them of their voluntary participation, as well as a copy of Lambert's (2003) LCSS (see Appendices E and F for English and Spanish version). SCM teachers and administrators were asked to read both the cover letter and informed consent form (see Appendices H and I for English and Spanish version). Only if they wished to participate in the study, they would complete the anonymous survey and dropped it off in a sealed box that was located in the reception area of the school.

The survey was designed to take approximately 20 minutes to reduce potential fatigue, boredom, and imposition on the participant's time. Participants were given 7 days to complete the survey and dropped it off in the sealed box that was located in the reception area of the school. Anonymous surveys are being kept under lock and key for 3 years and then would be destroyed.

Administration of Survey

Formal permission to conduct research was requested and granted by the school (see Appendices J and K for English and Spanish version). The researcher used the last 20 minutes of a regular staff meeting to explain the study and ask for the staff participation. Each staff member was handed an unmarked envelope that contained a

cover letter and an informed consent form (see Appendices H and I for English and Spanish version) that explained the study, ensured anonymity, and informed the staff of their voluntary participation, as well as a copy of Lambert's (2003) LCSS (see Appendices E and F for English and Spanish version). SCM teachers and administrators were asked to read both the cover letter and informed consent form (see Appendices H and I for English and Spanish version). Only if they wished to participate in the study, they would complete the anonymous survey and dropped it off in a sealed box that was located in the reception area of the school.

The survey was designed to take approximately 20 minutes to reduce potential fatigue, boredom, and imposition on the participant's time. Participants were given 7 days to complete the survey and dropped it off in the sealed box that was located in the reception area of the school.

Data Analysis

Descriptive and inferential statistics were used for the quantitative portion (Part I) of the survey. All data were entered into an Excel spread sheet and then imported to an NCSS spread sheet. Survey responses for teachers and administrators were analyzed using descriptive statistics (mean) to establish to what degree are Lambert's (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by teachers and administrators in the school. Survey responses for teachers and administrators were also analyzed using inferential statistics (chi-square test) to establish to what extent, if at all, is there agreement between the perceptions of teachers and administrators in the school regarding Lambert's (2003) six characteristics of Quadrant 4 schools.

Quantitative data (Part I) were grouped according to each of Lambert's (2003) six characteristics of Quadrant 4 schools. Surveys were divided in two groups (a) teachers and (b) administrators. Teachers' perceptions for each of Lambert's (2003) six characteristics of Quadrant 4 schools were analyzed to determine to what degree are these characteristics commonly practiced by teachers in the school. Administrators' perceptions for each of Lambert's (2003) six characteristics of Quadrant 4 schools were analyzed to determine to what degree are these characteristics commonly practiced by administrators in the school. Using chi-square analysis, teachers and administrators perceptions for each of Lambert's (2003) six characteristics of Quadrant 4 schools were then compared to each other to determine the level of agreement between SCM teachers and administrators perceptions.

The qualitative portion (Part II) of the survey served to either corroborate or contradict the quantitative data (Part I) when drawing conclusions (Creswell, 2003; Leedy & Ormrod, 2005) and to help establish what are SCM school-wide needs regarding leadership capacity based on Lambert's (2003) six characteristics of Quadrant 4 schools.

Qualitative data (Part II) were analyzed by tabulating teacher and administrators' responses for each of Lambert's (2003) six characteristics of Quadrant 4 schools. To reduce bias and subjectivity qualitative data was coded and decoded by the researcher and two additional persons unrelated to the study. Survey responses were divided in two groups (a) teachers and (b) administrators. Common categories for each of Lambert's (2003) six characteristics of Quadrant 4 schools were identified for each of the groups. Teachers' perceptions for each of Lambert's (2003) six characteristics of Quadrant 4 schools were analyzed to determine what the school is currently doing and what the

school still needs to do in order to reflect each characteristic. Administrators' perceptions for each of Lambert's (2003) six characteristics of Quadrant 4 schools were analyzed to determine what the school is currently doing and what the school still needs to do in order to reflect each characteristic. Teachers and administrators perceptions for each of Lambert's (2003) six characteristics of Quadrant 4 schools were then compared to each other and to the quantitative data (Part I) to determine SCM school-wide needs.

Chapter 4: Analyses and Results

This chapter discusses the analyses and results of the data obtained from this study and provides answers to the 4 research questions.

Restatement of the Problem

For the past 3 years, SCM has experienced several changes. In order to build leadership capacity SCM started to build trust, redesign jobs, change its organizational structure, and create a learning culture which has helped the school shift from an authoritarian leadership style that relied heavily on one person to a more collaborative leadership style that encourages the participation of all the stakeholders (Lambert, 2003; Maxwell, 2002). Nevertheless, the time demands of implementing all these changes left the school without the time and ability to assess if they have improved the organization. In order to establish the effectiveness of the changes and because succession at SCM is inevitable due to the impending leaders' departure from the school, SCM needs to establish whether or not the changes that have been implemented are working by assessing the leadership capacity of the organization.

Restatement of the Purpose of the Study

The purpose of this study was to assess and better prepare SCM for succession. This study examined the perceptions of SCM teachers and administrators in regard to Lambert's (2003) six characteristics of Quadrant 4 schools. This study was conducted in order to determine SCM level of readiness for successful succession and sustainability by establishing to what degree are Lambert's (2003) six characteristics of Quadrant 4 schools commonly practiced at SCM as perceived by teachers and administrators in the school.

Lambert (2003) states that Quadrant 4 schools are schools with a high level of leadership capacity that exhibit six critical characteristics (a) broad-based, skillful participation in the work of leadership; (b) shared vision resulting in program coherence; (c) inquiry-based use of data to inform decisions and practice; (d) roles and actions that reflect broad involvement, collaboration, and collective responsibility; (e) reflective practice that leads consistently to innovation; and (f) high or steadily improving student achievement. Teachers and administrators at SCM were surveyed to determine their perceptions of Lambert's (2003) six critical characteristics of Quadrant 4 schools in order to establish SCM level of readiness for successful succession and sustainability.

Research Questions

The following questions guided this study:

1. To what degree are Lambert's (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by teachers in the school?
2. To what degree are Lambert's (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by administrators in the school?
3. To what extent, if at all, is there agreement between the perceptions of teachers and administrators in the school regarding Lambert's (2003) six characteristics of Quadrant 4 schools?
4. What are SCM school-wide needs regarding leadership capacity based on Lambert's (2003) six characteristics of Quadrant 4 schools?

Population and Sample

The sample size for this study was determined by the number of teachers and administrators at SCM. The population consisted of 50 educators (eight administrators and 42 teachers) who were asked to voluntarily participate in the study. All 50 educators (eight administrators and 42 teachers) voluntarily chose to participate in the study and answer the survey.

Data Analysis

Lambert's (2003) LCSS uses a 5-point Likert scale with 30 items that are clustered according to Lambert's (2003) six characteristics of Quadrant 4 schools:

1. Broad-based, skillful participation in the work of leadership
2. Shared vision resulting in program coherence
3. Inquiry-based use of data to inform decisions and practices
4. Roles and actions that reflect broad involvement, collaboration, and collective responsibility
5. Reflective practice that leads consistently to innovation
6. High or steadily improving student achievement

The 5-point Likert scale responses included:

1. We do not do this at our school
2. We are starting to move in this direction
3. We are making good progress here
4. We have this condition well established
5. We are refining our practice in this area

Participants marked their responses based on their perceptions of current practices in the school regarding Lambert's (2003) six characteristics of Quadrant 4 schools.

To analyze the quantitative portion (Part I) of the survey the researcher used Excel and NCSS statistical software. Even though the researcher could not average individual (Likert scale) responses because they are considered attributes, the probability level (0.000) obtained during the factor analysis (see Appendix M) of each of the survey six sections/characteristics allowed the researcher to treat the sum total of the participants' (Likert scale) responses as numeric values. Notwithstanding, when ranking the order of the participants' responses the researcher took into consideration not only the mean (total) but also the number of items/questions, which is different in each of the six sections/characteristics of the survey. This justified the use of the mean (average) to rank the order of the participants' responses. For the qualitative portion (Part II) of the survey the researcher tabulated participants' responses and with the help of two additional persons unrelated to the study coded and decoded the data to find common themes and categories. These were the answers to the 4 research questions:

Research Question 1. To what degree are Lambert's (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by teachers in the school?

After tabulating and analyzing each of the teachers' responses, these were the results (see Table 1).

Table 1

Lambert's (2003) Characteristics of Quadrant 4 Schools Most Commonly Practiced by Teachers

	Characteristic	Number of Responses	Mean (Total)	Number of Items/ Questions	Mean * (Average) *
6.	High or steadily improving student achievement	42	19.36	5	3.87
3.	Inquiry-based use of information to inform decisions and practice	42	17.76	5	3.68
1.	Broad-based, skillful participation in the work of leadership	42	24.69	7	3.53
4.	Roles and actions reflect broad involvement, collaboration, and collective responsibility	42	13.52	4	3.38
5.	Reflective practice consistently leads to innovation	42	16.86	5	3.37
2.	Shared vision results in program coherence	42	12.83	4	3.21

Based on the teachers' responses the most commonly practiced characteristics by teachers in the school were:

6. High or steadily improving student achievement
3. Inquiry-based use of information to inform decisions and practice
1. Broad-based, skillful participation in the work of leadership
4. Roles and actions reflect broad involvement, collaboration, and collective responsibility
5. Reflective practice consistently leads to innovation
2. Shared vision results in program coherence

Research Question 2. To what degree are Lambert's (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by administrators in the school?

After tabulating and analyzing each of the administrators' responses, these were the results (see Table 2).

Table 2

Lambert's (2003) Characteristics of Quadrant 4 Schools Most Commonly Practiced by Administrators

	Characteristic	Number of Responses	Mean (Total)	Number of Items/ Questions	Mean * (Average) *
6.	High or steadily improving student achievement	8	19.37	5	3.88
3.	Inquiry-based use of information to inform decisions and practice	8	18.12	5	3.64
1.	Broad-based, skillful participation in the work of leadership	8	23.75	7	3.39
4.	Roles and actions reflect broad involvement, collaboration, and collective responsibility	8	13	4	3.25
5.	Reflective practice consistently leads to innovation	8	15.87	5	3.17
2.	Shared vision results in program coherence	8	11	4	2.75

Based on the administrators' responses the most commonly practiced characteristics by administrators in the school were:

6. High or steadily improving student achievement
3. Inquiry-based use of information to inform decisions and practice
1. Broad-based, skillful participation in the work of leadership
4. Roles and actions reflect broad involvement, collaboration, and collective responsibility
5. Reflective practice consistently leads to innovation
2. Shared vision results in program coherence

Research Question 3. To what extent, if at all, is there agreement between the perceptions of teachers and administrators in the school regarding Lambert's (2003) six characteristics of Quadrant 4 schools?

A comparison of teacher and administrator rankings regarding Lambert's (2003) six characteristics of Quadrant 4 schools at SCM revealed total agreement (see Table 3).

Table 3

Teachers and Administrators Ranking of Lambert's (2003) Six Characteristics of Quadrant 4 Schools

Characteristic	Teachers Ranking	Administrators Ranking
1. Broad-based, skillful participation in the work of leadership	3	3
2. Shared vision results in program coherence	6	6
3. Inquiry-based use of information to inform decisions and practice	2	2
4. Roles and actions reflect broad involvement, collaboration, and collective responsibility	4	4
5. Reflective practice consistently leads to innovation	5	5
6. High or steadily improving student achievement	1	1

However, in order to answer this question properly, the researcher needed a chi-square analysis. To answer this question and reduce subjectivity, the researcher converted numeric values into attributes, using a standard formula by adding and subtracting the standard deviation from the mean in order to establish each attribute. The attributes established were: Very High, High, Average, Low, and Very Low (see Appendix N). These were the responses for each of Lambert's (2003) six characteristics of Quadrant 4 schools:

1. Broad-based, skillful participation in the work of leadership

Table 4

Attributes Classification for Lambert's (2003) First Characteristic of Quadrant 4 Schools

Attribute	Administrators	Teachers	Total
Average	6	33	39
High	1	6	7
Low	0	1	1
Very Low	1	2	3
Total	8	42	50

Table 5

Chi Square Analysis for Lambert's (2003) First Characteristic of Quadrant 4 Schools

Chi Square	Probability Level	Accept or Reject H0
0.89	0.83	Accept H0

2. Shared vision results in program coherence

Table 6

Attributes Classification for Lambert's (2003) Second Characteristic of Quadrant 4 Schools

Attribute	Administrators	Teachers	Total
Average	5	33	38
High	0	3	3
Low	2	3	5
Very High	0	2	2
Very Low	1	1	2
Total	8	42	50

Table 7

Chi Square Analysis for Lambert's (2003) Second Characteristic of Quadrant 4 Schools

Chi Square	Probability Level	Accept or Reject H0
5.04	0.28	Accept H0

3. Inquiry-based use of information to inform decisions and practice

Table 8

Attributes Classification for Lambert's (2003) Third Characteristic of Quadrant 4 Schools

Attribute	Administrators	Teachers	Total
Average	3	31	34
High	2	4	6
Low	3	5	8
Very Low	0	2	2
Total	8	42	50

Table 9

Chi Square Analysis for Lambert's (2003) Third Characteristic of Quadrant 4 Schools

Chi Square	Probability Level	Accept or Reject H0
5.78	0.12	Accept H0

4. Roles and actions reflect broad involvement, collaboration, and collective responsibility

Table 10

Attributes Classification for Lambert's (2003) Fourth Characteristic of Quadrant 4 Schools

Attribute	Administrators	Teachers	Total
Average	3	37	40
High	2	2	4
Low	2	2	4
Very Low	1	1	2
Total	8	42	50

Table 11

Chi Square Analysis for Lambert's (2003) Fourth Characteristic of Quadrant 4 Schools

Chi Square	Probability Level	Accept or Reject H0
10.75	0.01	Reject H0

5. Reflective practice consistently leads to innovation

Table 12

Attributes Classification for Lambert's (2003) Fifth Characteristic of Quadrant 4 Schools

Attribute	Administrators	Teachers	Total
Average	4	33	37
High	1	3	4
Low	2	5	7
Very Low	1	1	2
Total	8	42	50

Table 13

Chi Square Analysis for Lambert's (2003) Fifth Characteristic of Quadrant 4 Schools

Chi Square	Probability Level	Accept or Reject H0
3.53	0.32	Accept H0

6. High or steadily improving student achievement

Table 14

Attributes Classification for Lambert's (2003) Sixth Characteristic of Quadrant 4 Schools

Attribute	Administrators	Teachers	Total
Average	3	28	31
High	2	11	13
Low	3	2	5
Very Low	0	1	1
Total	8	42	50

Table 15

Chi Square Analysis for Lambert's (2003) Sixth Characteristic of Quadrant 4 Schools

Chi Square	Probability Level	Accept or Reject H0
8.32	0.04	Reject H0

According to the chi-square test calculation and probability level of teachers and administrators responses regarding Lambert's (2003) six characteristics of Quadrant 4 schools, there was a statistically significant agreement between teachers and administrators' perceptions in two of the six characteristics:

4. Roles and actions reflect broad involvement, collaboration, and collective responsibility; and
6. High or steadily improving student achievement

Table 16

Summary of Chi Square Analysis for Lambert's (2003) Six Characteristics of Quadrant 4 Schools

	Characteristic	Chi Square Test	Probability Level	Confidence Level	Accept or Reject H0	Agreement Between Perceptions
1.	Broad-based, skillful participation in the work of leadership	0.89	0.83	< 95%	Accept H0	No Agreement
2.	Shared vision results in program coherence	5.04	0.28	< 95%	Accept H0	No Agreement
3.	Inquiry-based use of information to inform decisions and practice	5.78	0.12	< 95%	Accept H0	No Agreement
4.	Roles and actions reflect broad involvement, collaboration, and collective responsibility	10.75	0.01	> 95%	Reject H0	Agreement
5.	Reflective practice consistently leads to innovation	3.53	0.32	< 95%	Accept H0	No Agreement
6.	High or steadily improving student achievement	8.32	0.04	> 95%	Reject H0	Agreement

Research Question 4. What are SCM school-wide needs regarding leadership capacity based on Lambert's (2003) six characteristics of Quadrant 4 schools?

Analyzing the teachers and administrators responses to research questions 1 and 2 and ranking them (from 1 to 6) according to their mean (average) in descending order (from most practiced to least practiced), both teachers and administrators concurred in the order of which of Lambert's (2003) six characteristics of Quadrant 4 schools are most commonly practiced in the school (see Table 17).

Table 17

Teachers and Administrators Most Commonly Practiced Lambert's (2003) Characteristics of Quadrant 4 Schools

	Characteristics	Teachers	Administrators		Characteristics (Most Commonly Practiced)
1.	Broad-based, skillful participation in the work of leadership	3	3	1.	High or steadily improving student achievement
2.	Shared vision results in program coherence	6	6	2.	Inquiry-based use of information to inform decisions and practice
3.	Inquiry-based use of information to inform decisions and practice	2	2	3.	Broad-based, skillful participation in the work of leadership
4.	Roles and actions reflect broad involvement, collaboration, and collective responsibility	4	4	4.	Roles and actions reflect broad involvement, collaboration, and collective responsibility
5.	Reflective practice consistently leads to innovation	5	5	5.	Reflective practice consistently leads to innovation
6.	High or steadily improving student achievement	1	1	6.	Shared vision results in program coherence

Based on these rankings, along with the analysis of the qualitative data (Part II) of the survey, the least practiced characteristic, and therefore the one that needs more work and attention by teachers and administrators in the school was *Shared vision results in program coherence*. Although both teachers and administrators have (a) developed the school vision jointly; and (c) thought together how to align standards, instruction, assessment, and programs; they still need to (b) ask each other questions that keep them on track with the vision; and (d) keep the school vision alive by reviewing it regularly (see Table 18).

Table 18

Teachers and Administrators Qualitative Responses to Lambert's (2003) Second Characteristic of Quadrant 4 Schools

	2. Shared vision results in program coherence	Administrators		Teachers		Total
		Doing	To Do	Doing	To Do	
a.	Develop our school vision jointly	8	0	35	7	50
b.	Ask each other questions that keep us on track with our vision	2	6	7	35	50
c.	Think together about how to align our standards, instruction, assessment, and programs with our vision	7	1	31	11	50
d.	Keep vision alive by reviewing it regularly	3	5	6	36	50

The second least practiced characteristic that needs more work and attention by teachers and administrators in the school was *Reflective practice consistently leads to innovation.* Although both teachers and administrators have (b) encouraged individual and group initiative by providing access to resources, personnel, and time; (c) joined networks of other schools and programs, both inside and outside the district, to secure feedback on their work; (d) practiced and supported new ways of doing things; and (e) developed their own criteria for accountability regarding individual and shared work; they still need to (a) make time for ongoing reflection (e.g., journaling, peer coaching, collaborative planning) (see Table 19).

Table 19

Teachers and Administrators Qualitative Responses to Lambert's (2003) Fifth Characteristic of Quadrant 4 Schools

	5. Reflective practice consistently leads to innovation	Administrators		Teachers		Total
		Doing	To Do	Doing	To Do	
a.	Make time for ongoing reflection (e.g., journaling, peer coaching, collaborative planning)	1	7	3	39	50
b.	Encourage individual and group initiative by providing access to resources, personnel, and time	5	3	34	8	50
c.	Have joined with networks of other schools and programs, both inside and outside the district, to secure feedback on our work	6	2	32	10	50
d.	Practice and support new ways of doing things	6	2	37	5	50
e.	Develop our own criteria for accountability regarding individual and shared work	6	2	28	14	50

The third least practiced characteristic that needs more work and attention by teachers and administrators in the school was *Roles and actions reflect broad involvement, collaboration, and collective responsibility.* Although both teachers and administrators have (a) designed new roles to include attention to classrooms, school, community, and profession; and (c) developed new ways to work together; they still need to (b) seek to perform outside traditional roles; and (d) develop a plan for sharing responsibilities in the implementation of decisions and agreements (see Table 20).

Table 20

Teachers and Administrators Qualitative Responses to Lambert's (2003) Fourth Characteristic of Quadrant 4 Schools

	4. Roles and actions reflect broad involvement, collaboration, and collective responsibility	Administrators		Teachers		Total
		Doing	To Do	Doing	To Do	
a.	Have designed our roles to include attention to our classrooms, school, community, and profession	8	0	33	9	50
b.	Seek to perform outside of traditional roles	3	5	13	29	50
c.	Have developed new ways to work together	8	0	35	7	50
d.	Have developed a plan for sharing responsibilities in the implementation of our decisions and agreements	6	2	18	24	50

Looking at the top three scoring characteristics in ascending order (from least practiced to most practiced) the third most commonly practiced characteristic by both teachers and administrators in the school was *Broad-based, skillful participation in the work of leadership.* Although both teachers and administrators have (a) established representative governance groups; (b) performed collaborative work in large and small teams; (c) modeled leadership skills; (d) organized for maximum interaction among adults and children; and (f) expressed their leadership by attending to the learning of the entire school community; they still need to (e) share authority and resources; and (g) engage each other in opportunities to lead (see Table 21).

Table 21

Teachers and Administrators Qualitative Responses to Lambert's (2003) First Characteristic of Quadrant 4 Schools

	1. Broad-based, skillful participation in the work of leadership	Administrators		Teachers		Total
		Doing	To Do	Doing	To Do	
a.	Have established representative governance groups	8	0	39	3	50
b.	Perform collaborative work in large and small teams	7	1	33	11	50
c.	Model leadership skills	6	2	33	9	50
d.	Organize for maximum interaction among adults and children	8	0	35	7	50
e.	Share authority and resources	3	5	16	26	50
f.	Express our leadership by attending to the learning of the entire school community	7	1	30	12	50
g.	Engage each other in opportunities to lead	4	4	17	25	50

The second most commonly practiced characteristic by both teachers and administrators in the school was *Inquiry-based use of information to inform decisions and practice.* Although both teachers and administrators are (a) using a learning cycle that involves reflection, dialogue, inquiry, and action; (c) focusing in student learning; and (d) using data/evidence to inform decisions and teaching practices; they still need to (b) make time available for learning to occur (e.g., faculty meetings, ad hoc groups, teams); and (e) design a comprehensive information system that keeps everyone informed and involved (see Table 22).

Table 22

Teachers and Administrators Qualitative Responses to Lambert's (2003) Third Characteristic of Quadrant 4 Schools

3. Inquiry-based use of information to inform decisions and practice		Administrators		Teachers		Total
		Doing	To Do	Doing	To Do	
a.	Use learning cycle that involves reflection, dialogue, inquiry, and action	6	2	31	11	50
b.	Make time available for this learning to occur (e.g., faculty meetings, ad hoc groups, teams)	5	3	22	20	50
c.	Focus on student learning	8	0	42	0	50
d.	Use data/evidence to inform our decisions and teaching practices	8	0	38	4	50
e.	Have designed comprehensive information system that keeps everyone informed and involved	4	4	24	18	50

The most commonly practiced characteristic by teachers and administrators in the school was *High or steadily improving student achievement.* Although both teachers and administrators are (b) teaching and assessing so that all children can learn; (c) providing feedback to children and families about student progress; (d) talking with families about student performance and programs; and (e) redesigning roles and structures to develop resiliency in children (e.g., teacher as coach/advisor/mentor, school wide guidance programs, community service); they still need to (a) work with members of the school community to establish and implement expectations and standards (see Table 23).

Table 23

Teachers and Administrators Qualitative Responses to Lambert's (2003) Sixth Characteristic of Quadrant 4 Schools

6. High or steadily improving student achievement and development		Administrators		Teachers		Total
		Doing	To Do	Doing	To Do	
a.	Work with members of the school community to establish and implement expectations and standards	4	4	23	19	50
b.	Teach and assess so that all children learn	8	0	40	2	50
c.	Provide feedback to children and families about student progress	8	0	42	0	50
d.	Talk with families about student performance and school programs	8	0	41	1	50
e.	Have redesigned roles and structures to develop resiliency in children (e.g., teacher as coach/advisor/mentor, school wide guidance programs, community service)	6	2	37	5	50

According to all the data gathered by the survey, teachers and administrators at SCM are doing well in three of Lambert's (2003) six characteristics of Quadrant 4 schools:

6. High or steadily improving student achievement
3. Inquiry-based use of information to inform decisions and practice
1. Broad-based, skillful participation in the work of leadership

However, more work needs to be done on:

2. Shared vision results in program coherence
5. Reflective practice consistently leads to innovation
4. Roles and actions reflect broad involvement, collaboration, and collective responsibility

SCM also needs to address certain deficits found by looking at the individual components/items of each of Lambert's (2003) six characteristics (see Table 24).

Table 24

Summary of SCM School-wide Needs Regarding Lambert's (2003) Six Characteristic of Quadrant 4 Schools

Characteristics in Descending (from most to least) Order of Practice	Currently Doing	Still Needs To Do
1. High or steadily improving student achievement	• Teach and assess so all children learn • Provide feedback to children and families about student progress • Talk with families about student performance and school programs • Have redesigned roles and structures to develop resiliency in children	• Work with members of the school community to establish and implement expectations and standards
2. Inquiry-based use of information to inform decisions and practice	• Use learning cycle that involves reflection, dialogue, inquiry, and action • Focus on student learning • Use data/evidence to inform decisions and teaching practices	• Make time available learning to occur • Design comprehensive information system that keeps everyone informed and involved
3. Broad-based, skillful participation in the work of leadership	• Have established representative governance groups • Perform collaborative work in large and small teams • Model leadership skills • Organize for maximum interaction • Express leadership by attending to the learning of the entire school	• Share authority and resources • Engage each other in opportunities to lead
4. Roles and actions reflect broad involvement, collaboration, and collective responsibility	• Have designed our roles to include attention to classrooms, school, community, and profession • Have developed new ways to work together	• Seek to perform outside of traditional roles • Have developed a plan for sharing responsibilities in the implementation of decisions and agreements
5. Reflective practice consistently leads to innovation	• Encourage individual and group initiative providing access to resources, personnel, and time • Join networks of other schools and programs to get feedback on work • Practice and support new ways of doing things • Develop own criteria for accountability	• Make time for ongoing reflection
6. Shared vision results in program coherence	• Develop school vision jointly • Align standards, instruction, assessment, and programs with vision	• Ask each other questions that keep us on track with vision • Keep vision alive by reviewing it regularly

Summary

This chapter has presented the results of the analyses performed to answer the four research questions of this study. Teachers and administrators concurred in their

responses of which of Lambert's (2003) six characteristics of Quadrant 4 schools are perceived to be commonly practiced in the school citing:

6. High or steadily improving student achievement
3. Inquiry-based use of information to inform decisions and practice
1. Broad-based, skillful participation in the work of leadership
4. Roles and actions reflect broad involvement, collaboration, and collective responsibility
5. Reflective practice consistently leads to innovation
2. Shared vision results in program coherence

However, only two of Lambert's (2003) six characteristics of Quadrant 4 schools presented a statistically significant agreement between teachers and administrators perceptions:

4. Roles and actions reflect broad involvement, collaboration, and collective responsibility
6. High or steadily improving student achievement

According to the analysis of the data, SCM needs more work in three of Lambert's (2003) six characteristics:

2. Shared vision results in program coherence
5. Reflective practice consistently leads to innovation
4. Roles and actions reflect broad involvement, collaboration, and collective responsibility

SCM needs to provide continuous support to reinforce the three most commonly practiced characteristics:

6. High or steadily improving student achievement
3. Inquiry-based use of information to inform decisions and practice
1. Broad-based, skillful participation in the work of leadership

Furthermore, SCM needs to address certain deficits found by looking at the individual components/items of each of Lambert's (2003) six characteristics.

Chapter 5: Findings, Conclusions, and Recommendations

This chapter discusses the findings, conclusions, and recommendations for policy, practice, and future research for this study.

Restatement of the Purpose of the Study

The purpose of this study was to assess and better prepare SCM for succession. This study examined the perceptions of SCM teachers and administrators in regard to Lambert's (2003) six characteristics of Quadrant 4 schools. This study was conducted in order to determine SCM level of readiness for successful succession and sustainability by establishing to what degree are Lambert's (2003) six characteristics of Quadrant 4 schools commonly practiced at SCM as perceived by teachers and administrators in the school.

Lambert (2003) states that Quadrant 4 schools are schools with a high level of leadership capacity that exhibit six critical characteristics (a) broad-based, skillful participation in the work of leadership; (b) shared vision resulting in program coherence; (c) inquiry-based use of data to inform decisions and practice; (d) roles and actions that reflect broad involvement, collaboration, and collective responsibility; (e) reflective practice that leads consistently to innovation; and (f) high or steadily improving student achievement. Teachers and administrators at SCM were surveyed to determine their perceptions of Lambert's (2003) six critical characteristics of Quadrant 4 schools in order to establish SCM level of readiness for successful succession and sustainability.

Restatement of the Design of the Study

For the past three years, SCM has used Lambert's (2003) *Leadership Capacity for Lasting School Improvement* book as a blueprint to try to build leadership capacity in the school and prepare the organization for successful succession and sustainability. SCM teachers and administrators have been working hard building trust redesigning jobs, and changing the organizational structure of the school by becoming very familiar with Lambert's (2003) work, particularly with her *Leadership Capacity Matrix* (see Appendices C and D for English and Spanish version). Nevertheless, the time demands of implementing all these changes left the school without the time and ability to assess if they have improved the organization. In order to establish the effectiveness of the changes and because succession at SCM is inevitable due to the impending leaders' departure from the school, SCM needs to establish whether or not the changes that have been implemented are working by assessing the leadership capacity of the school.

This is a mixed methodology study conducted using Lambert's (2003) LCSS (see Appendices E and F for English and Spanish Version). Quantitative and qualitative data were collected concurrently in two different sections of the same survey. Lambert's (2003) LCSS uses a 5-point Likert scale with 30 items that are clustered according to Lambert's (2003) six characteristics of Quadrant 4 schools:

1. Broad-based, skillful participation in the work of leadership
2. Shared vision resulting in program coherence
3. Inquiry-based use of data to inform decisions and practices
4. Roles and actions that reflect broad involvement, collaboration, and collective responsibility

5. Reflective practice that leads consistently to innovation
6. High or steady improvement of student achievement

The 5-point Likert scale responses included:

1. We do not do this at our school
2. We are starting to move in this direction
3. We are making good progress here
4. We have this condition well established
5. We are refining our practice in this area

Qualitative data (Part II) were collected by restating each of Lambert's (2003) six characteristics of Quadrant 4 schools and asking SCM teachers and administrators for things the school is currently doing well and things the school still needs to do better in order to reflect each of Lambert's (2003) six characteristics of Quadrant 4 schools.

The data for this study came from a single private school in Lima, Perú with 450 students and 50 full-time staff members. Teacher perceptions of leadership capacity were limited to SCM teachers from Preschool to 12th Grade. Administrator perceptions of leadership capacity were limited to SCM administrators.

This study was limited to the opinions and perceptions of a group of teachers and administrators in a private school. The responses relied on the honesty and accuracy of the teachers and administrators who participated in the study. This is not a representative sample of all private schools; therefore, there may be some inherent bias in the survey data. As a result, caution should be used in generalizing the results to private schools outside of SCM.

Analysis of Findings for Research Question 1

Research question 1 asked, "To what degree are Lambert's (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by teachers in the school?" Based on the teachers' responses to the survey the following characteristics are the most commonly practiced by teachers in the school:

1. High or steadily improving student achievement
2. Inquiry-based use of information to inform decisions and practice
3. Broad-based, skillful participation in the work of leadership
4. Roles and actions reflect broad involvement, collaboration and collective responsibility
5. Reflective practice consistently leads to innovation
6. Shared vision results in program coherence

The findings from this study indicate that the Lambert (2003) characteristic perceived to be most commonly practiced by the teachers in the school was *High or steadily improving student achievement.* This finding concurs with the work of DuFour and Eaker (1998), Graham and Ferriter (2010), Lambert (2003), and Marzano et al. (2005) who believe high student achievement is the main goal of schools. "Student learning factors—academic performance, resiliency, and equitable outcomes for all students—is at the heart of leadership capacity; indeed it is the compelling content of leadership" (Lambert, 2003, p. 7). This finding may also be due to the fact that SCM is a private school that relies on its reputation and the quality of services it provides which require the school to provide high quality education aimed at achieving and maintaining high student achievement.

The second characteristic perceived to be most commonly practiced by the teachers in the school was *Inquiry-based use of information to inform decisions and practice.* This finding concurs with the work of Anderson et al. (1994), Lambert (2003) and Reid (2004) who believe teachers in schools with high leadership capacity work together to gather information and make collaborative decisions based on that data.

The third characteristic perceived to be most commonly practiced by the teachers in the school was *Broad-based, skillful participation in the work of leadership.* This finding concurs with the work of Fullan (2005), Hargreaves and Fink (2006), Lambert (2003), and Spillane (2006) who believe without opportunities to participate in the work of leadership, teachers cannot become skillful, and leadership capacity cannot be achieved.

Roles and actions reflect broad involvement, collaboration and collective responsibility, Reflective practice consistently leads to innovation, and *Shared vision results in program coherence* were perceived to be commonly practiced by teachers in the school but to a lesser degree. Looking at the three least practiced characteristics we can clearly appreciate that SCM is currently in what the literature review of this study calls transitional stage (Lambert, 2006). Teachers are in process of taking on more roles and responsibilities but still seem to require the administrators' continuous support, guidance, and coaching.

Analysis of Findings for Research Question 2

Research question 2 asked, "To what degree are Lambert's (2003) six characteristics of Quadrant 4 schools perceived to be commonly practiced by administrators in the school?" Based on the administrators' responses to the survey the

following characteristics are the most commonly practiced by administrators in the school:

1. High or steadily improving student achievement
2. Inquiry-based use of information to inform decisions and practice
3. Broad-based, skillful participation in the work of leadership
4. Roles and actions reflect broad involvement, collaboration and collective responsibility
5. Reflective practice consistently leads to innovation
6. Shared vision results in program coherence

The findings from this study indicate that Lambert's (2003) characteristics perceived to be most commonly practiced by administrators in the school concurred with those identified by teachers in the school. Administrators identified *High or steadily improving student achievement* as the most commonly practiced characteristic. This finding concurs with the work of DuFour and Eaker (1998), Graham and Ferriter (2010), Lambert (2003) and Marzano et al. (2005) who believe high leadership has a positive impact on student learning. "Learning and leading are firmly linked: a school with high leadership capacity develops students who both learn and lead" (Lambert, 2003, p. 54). This finding may also be due to the fact that SCM is a private school that relies on its reputation and the quality of services it provides which require the school to provide high quality education aimed at achieving and maintaining high student achievement.

The second characteristic perceived to be most commonly practiced by administrators in the school was *Inquiry-based use of information to inform decisions and practice.* This finding concurs with the work of Preskill and Torres (1999), Reid (2004),

and Schon (1995) who believe one of the most valuable uses of inquiry in schools is to inform decision-making for action and allow organizations to learn from past experiences.

The third characteristic perceived to be most commonly practiced by the administrators in the school was *Broad-based, skillful participation in the work of leadership.* This finding concurs with the work of Fink (2010), Hargreaves and Fink (2006), and Spillane (2006) who believe that broad-based and skillful participation in the work of leadership allows for continuity and direction within an organization even if the leader leaves.

Roles and actions reflect broad involvement, collaboration and collective responsibility, Reflective practice consistently leads to innovation, and *Shared vision results in program coherence* were perceived to be commonly practiced by administrators in the school but to a lesser degree. Looking at the three least practiced characteristics we can clearly appreciate that SCM is currently in what the literature review of this study calls transitional stage (Lambert, 2006). Administrators are in process of letting go by allowing teachers to take on more roles and responsibilities while still providing continuous support, guidance, and coaching.

Analysis of Findings for Research Question 3

Research question 3 asked, "To what extent, if at all, is there agreement between the perceptions of teachers and administrators in the school regarding Lambert's (2003) six characteristics of Quadrant 4 schools?"

A comparison of teachers and administrators responses to research questions 1 and 2 revealed total agreement in their perceptions regarding which of Lambert's (2003)

six characteristics of Quadrant 4 schools are commonly practiced in the school. However, in order to answer this question properly and identify a statistically significant agreement, the researcher used chi-square test calculations.

Based on the chi-square test calculations and probability levels of teachers and administrators responses regarding Lambert's (2003) six characteristics of Quadrant 4 schools, there was a statistically significant agreement between teachers and administrators' perceptions in two of the six characteristics:

4. Roles and actions reflect broad involvement, collaboration, and collective responsibility
6. High or steadily improving student achievement

Roles and actions reflect broad involvement, collaboration, and collective responsibility was cited as the fourth most commonly practiced characteristic by both teachers and administrators in their responses to research questions 1 and 2 and shows a statistically significant agreement between teachers and administrators' perceptions. This finding concurs with the work of DuFour and Eaker (1998), Graham and Ferriter (2010), and Katzenbach and Smith (1993) who believe increased teacher participation in the work of leadership empowers teachers, creates a culture of interdependence, and allows them to work together for the continuous benefit of the organization.

High or steadily improving student achievement was cited as the most commonly practiced characteristic by both teachers and administrators in their responses to research questions 1 and 2 and shows a statistically significant agreement between teachers and administrators' perceptions. This finding concurs with the work of DuFour and Eaker (1998), Graham and Ferriter (2010), Lambert (2003) and Marzano et al. (2005) who

believe high leadership capacity has a positive impact on student learning. The statistically significant agreement between teachers and administrators' perceptions in this Lambert (2003) characteristic may also be due to the fact that SCM is a private school that relies on its reputation and the quality of services it provides which require the school to provide high quality education aimed at achieving and maintaining high student achievement.

Analysis of Findings for Research Question 4

Research question 4 asked, "What are SCM school-wide needs regarding leadership capacity based on Lambert's (2003) six characteristics of Quadrant 4 schools?" Based on the teachers and administrators responses to research questions 1 and 2 along with the analysis of the qualitative data (Part II) of the survey, SCM school-wide needs (in descending order/from most to least) are:

1. Shared vision results in program coherence
    b. Ask each other questions that keep them on track with the vision (Time and Communication Deficit)
    d. Keep the school vision alive by reviewing it regularly (Time and Communication Deficit)
2. Reflective practice consistently leads to innovation
    a. Make time for ongoing reflection (e.g., journaling, peer coaching, collaborative planning) (Time Deficit)
3. Roles and actions reflect broad involvement, collaboration and collective responsibility
    b. Seek to perform outside traditional roles (Distributed Leadership Deficit)

d. Develop a plan for sharing responsibilities in the implementation of decisions and agreements (Distributed Leadership Deficit)

4. Broad-based, skillful participation in the work of leadership
    e. Share authority and resources (Distributed Leadership Deficit)
    g. Engage each other in opportunities to lead (Distributed Leadership Deficit)
5. Inquiry-based use of information to inform decisions and practice
    b. Make time available for learning to occur (e.g., faculty meetings, ad hoc groups, teams) (Time Deficit)
    e. Design a comprehensive information system that keeps everyone informed and involved (Communication Deficit)
6. High or steadily improving student achievement
    a. Work with members of the school community to establish and implement expectations and standards (Communication Deficit)

Looking at SCM school-wide needs, particularly to their individual components/items, the school needs to address deficits in the areas of time, communication, and distributed leadership. These three deficit areas are deeply interconnected and interdependent. According to DuFour and Eaker (1998), Graham and Ferriter (2010), and Marzano et al. (2005), time is a very scarce commodity in most schools and in one that in continuously working on building a strong collaborative culture it becomes even more limited. Communication is often hindered by the lack of time. As Marzano et al. (2005) indicates, “Good communication is a critical feature of any endeavor in which people work in close proximity for a common purpose” (p. 46). Communication is essential to build shared understanding about teaching and practice

(Graham & Ferriter, 2010). Schools are very busy places and teachers are very busy people, particularly if in addition to their regular responsibilities they are trying to take on more. This increased level of involvement and participation makes it difficult for people to initiate or sustain conversations about shared professional practice. Distributed leadership is also hindered by the lack of time and communication. The lack of time often prevents organizations from identifying, acknowledging, and using the talents, ideas, and expertise of their staff (Hargreaves & Fink 2006; Spillane, 2006). Furthermore, the lack of proper communication often prevents the organization from establishing clear, well-understood roles and relationships with adequate coordination (Bolman & Deal, 2003).

According to the data gathered by the study, teachers and administrators at SCM are doing well in three of Lambert's (2003) six characteristics of Quadrant 4 schools:

6. High or steadily improving student achievement
3. Inquiry-based use of information to inform decisions and practice
1. Broad-based, skillful participation in the work of leadership

However, more work needs to be done on:

2. Shared vision results in program coherence
5. Reflective practice consistently leads to innovation
4. Roles and actions reflect broad involvement, collaboration, and collective responsibility

Summary of Key Findings

- The researcher found that both teachers and administrators concurred in their perceptions of which of Lambert's (2003) characteristics are most commonly practiced in the school.

- Both teachers and administrators identified *High or steadily improving student achievement* as the most commonly practiced Lambert (2003) characteristic in the school followed by *Inquiry-based use of information to inform decisions and practice,* and *Broad-based, skillful participation in the work of leadership*. *Roles and actions reflect broad involvement, collaboration, and collective responsibility, Reflective practice consistently leads to innovation,* and *Shared vision results in program coherence* were identified as practiced but to a lesser degree.
- Based on the chi-square test calculations and probability levels of teachers and administrators responses regarding Lambert's (2003) six characteristics of Quadrant 4 schools, there was an statistically significant agreement between teachers and administrators' perceptions in two of the six characteristics: *Roles and actions reflect broad involvement, collaboration, and collective responsibility*, and *High or steadily improving student achievement.*
- *High or steadily improving student achievement* was identified as the most commonly practiced characteristic by both teachers and administrators in the school and also showed a statistically significant agreement between teachers and administrators' perceptions.
- *Roles and actions reflect broad involvement, collaboration, and collective responsibility* was identified as the fourth most commonly practiced characteristic by both teachers and administrators in the school and also showed a statistically significant agreement between teachers and administrators' perceptions.

- *High or steadily improving student achievement, Inquiry-based use of information to inform decisions and practice,* and *Broad-based, skillful participation in the work of leadership* were perceived to be the most commonly practiced Lambert's (2003) characteristics by both teachers and administrators.
- *Shared vision results in program coherence, Reflective practice consistently leads to innovation,* and *Roles and actions reflect broad involvement, collaboration, and collective responsibility* were perceived to be the least commonly practiced Lambert's (2003) characteristics by both teachers and administrators.
- *Shared vision results in program coherence* was perceived to be the least commonly practiced Lambert's (2003) characteristic by both teachers and administrators in the school.
- SCM needs to work more on three of Lambert's (2003) six characteristics of Quadrant 4 schools *Shared vision results in program coherence, Reflective practice consistently leads to innovation,* and *Roles and actions reflect broad involvement, collaboration, and collective responsibility* while continuing to reinforce the top three characteristics *High or steadily improving student achievement, Inquiry-based use of information to inform decisions and practice,* and *Broad-based, skillful participation in the work of leadership* by addressing deficits in the areas of time, communication, and distributed leadership.

Study Conclusions

This study examined the importance of building leadership capacity for the successful succession and sustainability of a family-owned private school. This study was conducted in order to determine SCM level of readiness for successful succession and

sustainability by establishing to what degree are Lambert's (2003) six characteristics of Quadrant 4 schools commonly practiced at SCM as perceived by teachers and administrators in the school. The results of the study contribute to the existing knowledge base for building leadership capacity for succession and sustainability in a family-owned private school and can be used to guide policy and practice in these schools. School owners and leaders in general can benefit from this study because it identifies the key skills required to build leadership capacity for successful succession and sustainability in an organization. In addition, this study shows the importance of assessing the level of leadership in a school as an essential component for developing a successful organization, improve leadership practices, and enhance the consistency of the school program. Furthermore, this study demonstrates the importance of building leadership capacity skills among teachers and administrators in order to support a climate for successful school succession and sustainability. The findings from the study support the following five conclusions:

1. Lambert's (2003) six characteristics of Quadrant 4 schools identify the key skills required to build leadership capacity in a school and help organizations acquire a global perspective of how a high leadership capacity school looks like. All of Lambert's (2003) six characteristics of Quadrant 4 schools were perceived to be commonly practiced by teachers and administrators at SCM, but to varying degrees. Teachers and administrators perceptions about which of Lambert's (2003) six characteristics of Quadrant 4 schools are perceived to be commonly practiced at SCM concurred, which shows that they are working together towards building leadership capacity in the organization. However, their perceptions still

revealed certain deficits in the areas of time, communication, and distributed leadership

2. The results from this study, along with the literature review indicate SCM is in a transitional stage—the process of letting go while still providing continuous support, guidance, and coaching (Lambert, 2006). According to Lambert (L. Lambert, personal communication, May 25, 2010) the intent of the LCSS is to discover areas of growth in leadership capacity rather than to rank the school in any way. If we look at Lambert's (2003) *Leadership Capacity Matrix* (see Appendices C and D for English and Spanish version) we can see SCM has evolved from a Quadrant 1 school that had a low degree of skill and a low degree of participation in the work of leadership to a Quadrant 3 school that now has a high degree of skill but still a limited degree of participation. In order for SCM to transition from Quadrant 3 to Quadrant 4 the school needs to address its deficits in the areas of time, communication, and distributed leadership with continuous support, guidance, and coaching. SCM needs to continue to provide everyone the opportunity to lead by encouraging, supporting, and involving everyone in the work of leadership. SCM needs to acknowledge peoples' efforts, but continue to model and teach leadership skills, and build relationships that encourage leadership in order make the transition and become a Quadrant 4 school.
3. New views of leadership are more inclusive and focused on continual progress. As the world becomes more complex, leaders are confronted with challenges for which their single technical expertise is not enough. Relying solely on a leader's expertise can be very limiting for the succession and sustainability of an

organization (Heifetz, 1994). The results from this study, along with the literature review indicate that building leadership capacity is the key to successful succession and sustainability in an organization (Fullan, 2005; Hargreaves & Fink, 2006; Lambert, 2003). Building leadership capacity creates layers of leaders who are prepared to take over and sustain the organization when key people leave (Fullan 2005; Hargreaves & Fink, 2006). SCM is building leadership capacity for succession and sustainability promoting a collaborative culture and nurturing the development of leaders at all levels (Senge, 2006; Spillane, 2006; Tichy, 2002). When leadership is embedded in the organization as a whole, there is a greater potential for successful succession and sustainability (Fullan, 2005; Hargreaves & Fink, 2006; Lambert, 2003).

4. Several family-owned private schools like SCM, often do not develop beyond a one-person operation and are built around the owner's skills and his or her ability to oversee and control everything (Geddes, 2009). These schools often operate at the level of the founder and never develop a system and organization that can succeed without his or her involvement (Geddes, 2009). Even though most family-owned private school owners recognize the value of building leadership capacity for the successful succession and sustainability of the organization, their lack of knowledge about the process, ingrained habits, demanding schedules, and unfounded assumptions often prevent them from taking full advantage of the talent, ideas, and contributions of their staff (Aronoff et al., 2003; Geddes, 2009; Hargreaves & Fink, 2006; Spillane, 2006). Using Lambert's (2003) six characteristics of Quadrant 4 schools as a framework provides schools like SCM a

structure leaders can understand and follow according to their own needs. Furthermore, a tool like the LCSS used periodically helps schools like SCM identify the strengths and weaknesses present in the organization so they can address them and make leadership capacity a reality.

5. Organizations with high leadership capacity are learning organizations that can sustain themselves over time (Senge, 2006). "A learning organization is an organization that is continually expanding its capacity to create its future" (Senge, 2006, p. 14). At SCM building leadership capacity, succession, and sustainability are not fixed destinations, but an ongoing journey of development and continuous learning that move the organization forward (Hargreaves & Fink, 2006; Maxwell, 2002; Senge, 2006). SCM needs to continue to provide ongoing work in leadership training, staff development, mentoring from principals of high leadership capacity schools, visiting high leadership capacity schools, opening the lines of communication among teachers and administrators, using assessment tools like the LCSS periodically, and sharing data in order to achieve high leadership capacity, successful succession, and sustainability in the school. "Unless a school is starting from the ground up with a highly prepared staff, increasing leadership capacity over time is the most productive way to bring about improvements that can be sustained" (Lambert, 1998, p. 75).

Recommendations for Policy and Practice

This study aimed to assess and better prepare family-owned private schools for succession. The study examined the perceptions of private school teachers and administrators regarding Lambert's (2003) six characteristics of Quadrant 4 schools. The

findings from this study can be used to inform school reform practices as well as policy recommendations:

1. The school would benefit by developing an ongoing leadership training program for both teachers and administrators taking into account their perceptions and addressing the areas that show deficits. Ongoing leadership training can help teachers and administrators improve and build upon what is currently happening in the school in order to increase their performance, motivation, and effectiveness. Leadership training should be designed to provide teachers and administrators with how-to practical skills and techniques necessary to develop high performance individuals and teams in order to ensure the future success of the organization. Furthermore, leadership training should help develop the existing leadership talents and abilities of people in the organization to help them become even better leaders (Hargreaves & Fink, 2006; Spillane, 2006). Some of the skills to consider addressing would be effective communication, listening, leading with integrity, building relationships, coaching for performance, effectively delegating tasks, problem solving, and decision-making.
2. The school should develop a succession plan that can be easily implemented from an early stage by school founders, school leaders, or individuals opening a school. Succession requires developing an infrastructure that changes leadership from a reactive individualistic style to a proactive consensus oriented one (Fink, 2010). The succession plan should include how-to steps for assessing the needs of the organization, identifying the skills necessary for success, assessing people in the organization to see if they possess the necessary skills, build leadership capacity,

and evaluate results (Aronoff et al., 2003; Rothwell, 2005; Weiss & Molinaro, 2005).

3. This study found some deficits in the areas of time, communication, and distributed leadership. It would be beneficial to address these deficits by building time into the school day for both formal and informal communication among colleagues, participating in regular meetings focused by predetermined agendas, using digital forums or social networking to open communication lines, and clarifying roles and responsibilities while encouraging collaboration among teachers and administrators.
4. The findings from this study indicated that school founders, school leaders, and individuals opening a school need additional support and training to build leadership capacity for successful succession and sustainability. It would be beneficial to have experienced principals or leaders of high leadership capacity organizations serve as mentors to new and upcoming leaders or those struggling with capacity building in their schools. Furthermore, teachers and administrators would benefit from visiting, observing, and interacting with teachers and administrators in high leadership capacity schools. Mentors provide expertise to less experienced people to help them improve their performance, learn new skills and techniques, and build networks (Maxwell 2002; Tichy, 2002). A mentor is someone who "has been there and done that" and can show new or struggling leaders the most effective way of accomplishing their goals using a variety of approaches like coaching, training, and counseling.

5. Sustainability requires life-long learning. Therefore, the organization should provide ongoing staff development for teachers and administrators. Ongoing professional development is essential to keep teachers and administrators up to date on new research in education, emerging technologies for the classroom, and new resources. The best professional development is ongoing, experimental, collaborative, and connected to the work with students (DuFour & Eaker, 1998; Marzano et al., 2005; Maxwell, 2003). Teachers and administrator should receive relevant ongoing training that can help them acquire new skills or improve existing ones in order to enhance their performance for the benefit of the students and the organization.
6. The school would benefit from using the LCSS periodically to assess the leadership capacity of the organization. A school-wide assessment allows leaders to learn about school problems, strengths, and weaknesses (Lambert, 2003; Smith, 2010). Data obtained from the assessment would help as a benchmark against which to measure progress and help plan an agenda to address deficits (Lambert, 2003; Smith, 2010).
7. Data gathered from this study should be shared, understood, analyzed, and discussed by teachers and administrators in the school to establish similarities and differences between their perceptions and promote collaboration and teamwork. The clear and continuous display of the results and access to what is being done to get those results creates positive pressure and focuses attention toward what is required to improve (Fullan, 2008; Lambert, 2003).

Recommendations for Further Study

Since education is a journey of continuous learning, the findings from this study can be used to stimulate further research and study:

1. The researcher limited this study to the perceptions of teachers and administrators in a family-owned private school in Perú. It would be beneficial to conduct this study in more private and/or public schools in Perú and abroad. A larger sample size often provides more accuracy. Generally, the larger the sample, the more accurate the data is projecting the population opinion helping make results statistically significant even when analyzing multiple variables (Creswell, 2003; Leedy & Ormrod, 2005). A larger sample size would also allow the researcher to dig deeper into the data and understand the opinion of certain segments of the population. Furthermore, a larger sample size would generate more opinions and ideas that can help the researcher either innovate or improve things with his or her study or practice.
2. A long-term longitudinal study would be beneficial to truly link the characteristics of Quadrant 4 schools to building leadership capacity, succession, sustainability, and student achievement. A longitudinal study involves repeated observations of the same subjects over a long period of time (Creswell, 2003; Leedy & Ormrod, 2005). A longitudinal study is more likely to suggest cause-and-effect relationships that a cross-sectional study allowing the researcher to notice developments or changes in the characteristics of subjects at both the group and individual level and make accurate connections between the variables.

Final Thoughts

In the private or public sector and in education or business, leadership emphasizes relationships over rank, cooperation over control, and persuasion over orders (Maxwell, 2002). If we look at Bolman and Deal, 2003; Collins, 2001; Covey, 2004; DuFour and Eaker, 1998; Fullan, 2005; Hargreaves and Fink, 2006; Kotter, 1996; Lambert, 1998, 2003; Marzano et al., 2005; Maxwell, 2002; Schein, 2004; Senge, 2006 or any of the other education and business theorists and authors mentioned throughout this study, they all have different ways of addressing building leadership capacity, organizational structure, and change but at the core, they all promote teamwork, empowering people, and nurturing the development of leaders at all levels. They all look at the big picture, the integral vision, the system, and the synergy that causes empowered people at all levels to work together in the most effective way. They all consider building leadership capacity as the key for successful succession, sustainability, and the overall success of an organization.

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APPENDIX A

Peruvian Educational Cycles

LEVEL	PRESCHOOL		ELEMENTARY						HIGH-SCHOOL				
CYCLES	I	II	III		IV		V		VI		VII		
GRADES	Years 0-2	Years 3-5	1st	2nd	3rd	4th	5th	6th	1st	2nd	3rd	4th	5th

Source: MINEDU

APPENDIX B

Peruvian Education Curricular Areas

PRESCHOOL		ELEMENTARY	HIGH-SCHOOL
• Relationships • Communications • Nature • Society	• Logic & Math	• Logic & Math	• Math
	• Communication	• Communication • Art	• Communication • Second Language • Art
	• Social Science	• Social Science • Physical Education • Religion	• Social Science • Physical Education • Religion • Humanities
	• Science & Environment	• Science & Environment	• Science, Environment & Technology • Education for the Marketplace
MENTORING AND VOCATIONAL ORIENTATION			

Source: MINEDU

APPENDIX C

Leadership Capacity Matrix

	Low Degree of Participation	**High Degree of Participation**
Low Degree of Skill	**Quadrant 1** • Principal as autocratic manager • One-way flow of information; no shared vision • Codependent, paternal/maternal relationships; rigidly defined roles • Norms of compliance and blame; technical and superficial program coherence • Little innovation in teaching and learning • Poor student achievement or only short-term improvements on standardized tests	**Quadrant 2** • Principal as "laissez faire" manager; many teachers develop unrelated programs • Fragmented information that lacks coherence; programs that lack shared purpose • Norms of individualism, no collective responsibility • Undefined roles and responsibilities • "Spotty" innovation; some classrooms are excellent while others are poor • Static overall student achievement (unless data are disaggregated)
High Degree of Skill	**Quadrant 3** • Principal and key teachers as purposeful leadership team • Limited use of school-wide data; information flow within designated leadership groups • Polarized staff with pockets of strong resistance • Efficient designated leaders; others serve in traditional roles • Strong innovation, reflection skills, and teaching excellence; weak program coherence • Student achievement is static or shows slight improvement	**Quadrant 4** **A.** Broad-based, skillful participation in the work of leadership (Principal, teachers, parents, and students as skillful leaders) **B.** Shared vision resulting in program coherence **C.** Inquiry-based use of data to inform decisions and practice **D.** Roles and actions reflect broad involvement, collaboration, and collective responsibility (Broad involvement, collaboration, and collective responsibility reflected in roles and actions) **E.** Reflective practice that leads consistently to innovation **F.** High or steadily improving student achievement

APPENDIX D

Cuadro de Capacidad de Liderazgo

	Bajo Nivel de Participación	**Alto Nivel de Participación**
Bajo Nivel de Dominio	**Cuadrante 1** • El director es un administrador autocrático • Información circula en una sola dirección , no hay una visión compartida • Relación dependiente, paternal/maternal con roles rígidamente definidos • Normas de cumplimiento y culpa, coherencia del programa es técnica y superficial • Poca innovación en enseñanza y aprendizaje • Bajo rendimiento académico o solo mejoras a corto plazo	**Cuadrante 2** • El director es un administrador relajado, muchos maestros generan programas no relacionados • Información fragmentada sin coherencia, programas que no tienen un objetivo compartido • Normas de individualismo, no hay responsabilidad colectiva • Roles y responsabilidades no definidas • Innovación en ciertos sectores, algunas clases son excelentes y otras no • Rendimiento académico estático
Alto Nivel de Dominio	**Cuadrante 3** • El director y los maestros principales forman un equipo de liderazgo • Uso limitado de información/data a nivel general, la información circula dentro de los grupos designados de liderazgo • Personal polarizado con sectores de fuerte resistencia • Lideres eficientes designados, otros sirven en roles tradicionales • Mucha innovación, reflexión, enseñanza, y poca coherencia del programa académico • Rendimiento académico estático o con pocas mejoras	**Cuadrante 4** **A.** Amplia participación en el trabajo de liderazgo **B.** Visión compartida y coherencia del programa académico **C.** Uso de información basada en investigación para tomar decisiones y establecer programas y practicas académicas **D.** Roles y acciones que reflejan amplia participación, colaboración y responsabilidad colectiva **E.** Reflexión que causa innovación **F.** Alto y consistente rendimiento académico

APPENDIX E

Leadership Capacity School Survey

PART I

This school survey is designed to assess the leadership capacity of your school. The items are clustered according to the characteristics of Quadrant 4 schools. Once each staff member has completed the survey, the results can be presented in a chart depicting school-wide needs. The numbers on the 1-5 scale represent the following:

1: We do not do this at our school
2: We are starting to move in this direction
3: We are making good progress here
4: We have this condition well established
5: We are refining our practice in this area

Please circle the rating for each item

I am: Administrator at SCM Teacher at SCM

A. Broad-based, skillful participation in the work of leadership In our school, we:						
1. Have established representative governance groups	**1**	**2**	**3**	**4**	**5**
2. Perform collaborative work in large and small teams	**1**	**2**	**3**	**4**	**5**
3. Model leadership skills	**1**	**2**	**3**	**4**	**5**
4. Organize for maximum interaction among adults and children	**1**	**2**	**3**	**4**	**5**
5. Share authority and resources	**1**	**2**	**3**	**4**	**5**
6. Express our leadership by attending to the learning of the entire school community	**1**	**2**	**3**	**4**	**5**
7. Engage each other in opportunities to lead	**1**	**2**	**3**	**4**	**5**

B. Shared vision results in program coherence In our school, we:						
1. Develop our school vision jointly	**1**	**2**	**3**	**4**	**5**
2. Ask each other questions that keep us on track with our vision	**1**	**2**	**3**	**4**	**5**
3. Think together about how to align our standards, instruction, assessment, and programs with our vision	**1**	**2**	**3**	**4**	**5**
4. Keep our vision alive by reviewing it regularly	**1**	**2**	**3**	**4**	**5**

C. Inquiry-based use of information to inform decisions and practice In our school, we:					
1. Use a learning cycle that involves reflection, dialogue, inquiry, and action	**1**	**2**	**3**	**4**	**5**
2. Make time available for this learning to occur (e.g., faculty meetings, ad hoc groups, teams)	**1**	**2**	**3**	**4**	**5**
3. Focus on student learning	**1**	**2**	**3**	**4**	**5**
4. Use data/evidence to inform our decisions and teaching practices	**1**	**2**	**3**	**4**	**5**
5. Have designed a comprehensive information system that keeps everyone informed and involved	**1**	**2**	**3**	**4**	**5**

D. Roles and actions reflect broad involvement, collaboration, and collective responsibility In our school, we:					
1. Have designed our roles to include attention to our classrooms, school, community, and profession	**1**	**2**	**3**	**4**	**5**
2. Seek to perform outside of traditional roles	**1**	**2**	**3**	**4**	**5**
3. Have developed new ways to work together	**1**	**2**	**3**	**4**	**5**
4. Have developed a plan for sharing responsibilities in the implementation of our decisions and agreements	**1**	**2**	**3**	**4**	**5**

E. Reflective practice consistently leads to innovation In our school, we:					
1. Make time for ongoing reflection (e.g., journaling, peer coaching, collaborative planning)	**1**	**2**	**3**	**4**	**5**
2. Encourage individual and group initiative by providing access to resources, personnel, and time	**1**	**2**	**3**	**4**	**5**
3. Have joined with networks of other schools and programs, both inside and outside the district, to secure feedback on our work	**1**	**2**	**3**	**4**	**5**
4. Practice and support new ways of doing things	**1**	**2**	**3**	**4**	**5**
5. Develop our own criteria for accountability regarding individual and shared work	**1**	**2**	**3**	**4**	**5**

F. High or steadily improving student achievement and development In our school, we:					
1. Work with members of the school community to establish and implement expectations and standards	**1**	**2**	**3**	**4**	**5**
2. Teach and assess so that all children learn	**1**	**2**	**3**	**4**	**5**
3. Provide feedback to children and families about student progress	**1**	**2**	**3**	**4**	**5**
4. Talk with families about student performance and school programs	**1**	**2**	**3**	**4**	**5**
5 Have redesigned roles and structures to develop resiliency in children (e.g., teacher as coach/advisor/mentor, school wide guidance programs, community service)	**1**	**2**	**3**	**4**	**5**

PART II

Questions Related to Lambert's Six Critical Characteristics of Quadrant 4 Schools

1. The first characteristic of Quadrant 4 schools is ***"Broad-based, skillful participation in the work of leadership."***

- Mention some things our school <u>is currently doing well</u> in order to reflect this characteristic

- Mention some things our school <u>still needs to do better</u> in order to reflect this characteristic

2. The second characteristic of Quadrant 4 schools is ***"Shared vision resulting in program coherence."***

- Mention some things our school <u>is currently doing well</u> in order to reflect this characteristic

- Mention some things our school <u>still needs to do better</u> in order to reflect this characteristic

3. The third characteristic of Quadrant 4 schools is *"**Inquiry-based use of data to inform decisions and practice."***

- Mention some things our school <u>is currently doing well</u> in order to reflect this characteristic

- Mention some things our school <u>still needs to do better</u> in order to reflect this characteristic

4. The fourth characteristic of Quadrant 4 schools is ***"Roles and actions reflect broad involvement, collaboration, and collective responsibility"***

- Mention some things our school <u>is currently doing well</u> in order to reflect this characteristic

- Mention some things our school <u>still needs to do better</u> in order to reflect this characteristic

5. The fifth characteristic of Quadrant 4 schools is *"**Reflective practice that leads consistently to innovation."***

- Mention some things our school <u>is currently doing well</u> in order to reflect this characteristic

- Mention some things our school <u>still needs to do better</u> in order to reflect this characteristic

6. The sixth and last characteristic of Quadrant 4 schools is *"**High or steadily improving student achievement**."*

- Mention some things our school <u>is currently doing well</u> in order to reflect this characteristic

- Mention some things our school <u>still needs to do better</u> in order to reflect this characteristic

APPENDIX F

Encuesta de Capacidad de Liderazgo

PARTE I

Esta encuesta esta diseñada para evaluar la capacidad de liderazgo de nuestro colegio. Las preguntas están agrupadas de acuerdo a las características de los colegios de Cuadrante 4. Una vez que cada maestro y administrador complete la encuesta, los resultados se podrán presentar en un cuadro que indique las necesidades de nuestro colegio. Los números del 1 al 5 representan lo siguiente:

1: No hacemos esto en el colegio
2: Nos estamos empezando a mover en esta dirección
3: Estamos progresando en esto
4: Esta condición esta bien establecida
5: Estamos refinando nuestra práctica en esta área

Por favor haz un círculo en el numero/ranking que le das a cada una de las siguientes preguntas:

Soy: Administrador en SCM Profesor en SCM

A. Amplia participación en el trabajo de liderazgo En nuestro colegio nosotros:					
1. Hemos establecido grupos que nos coordinan y representan	**1**	**2**	**3**	**4**	**5**
2. Trabajamos coordinadamente en grupos grandes y pequeños	**1**	**2**	**3**	**4**	**5**
3. Practicamos características de liderazgo	**1**	**2**	**3**	**4**	**5**
4. Nos organizamos para que exista máxima interacción entre profesores y alumnos	**1**	**2**	**3**	**4**	**5**
5. Compartimos responsabilidad y recursos	**1**	**2**	**3**	**4**	**5**
6. Expresamos nuestro liderazgo prestándole atención al aprendizaje de todos los alumnos	**1**	**2**	**3**	**4**	**5**
7. Incentivamos la oportunidad de liderar	**1**	**2**	**3**	**4**	**5**

B. Visión compartida y coherencia del programa académico En nuestro colegio nosotros:					
1. Desarrollamos la visión del colegio juntos	**1**	**2**	**3**	**4**	**5**
2. Nos cuestionamos el uno al otro para mantenernos a tono con nuestra visión	**1**	**2**	**3**	**4**	**5**
3. Pensamos juntos en como alinear nuestros estándares, instrucción, y programas con nuestra visión	**1**	**2**	**3**	**4**	**5**
4. Mantenemos nuestra visión viva revisándola regularmente	**1**	**2**	**3**	**4**	**5**

C.	**Uso de información basada en investigación para tomar decisiones y establecer programas y practicas académicas** En nuestro colegio nosotros:					
1.	Aplicamos sesiones de aprendizaje que incluyen reflexión, dialogo, investigación y acción	**1**	**2**	**3**	**4**	**5**
2.	Dedicamos tiempo para que el aprendizaje ocurra (Ejemplo: reuniones de profesores, formación de grupos y equipos de coordinación)	**1**	**2**	**3**	**4**	**5**
3.	Nos focalizamos en el aprendizaje del alumno	**1**	**2**	**3**	**4**	**5**
4.	Usamos datos y evidencia para informar nuestras decisiones y practicas educativas	**1**	**2**	**3**	**4**	**5**
5.	Hemos diseñado un sistema de información comprensivo que mantiene a todos informados e involucrados	**1**	**2**	**3**	**4**	**5**

D.	**Roles y acciones que reflejan amplia participación, colaboración y responsabilidad colectiva** En nuestro colegio nosotros:					
1.	Hemos diseñado nuestros roles para incluir atención a nuestras aulas, colegio, comunidad y profesión	**1**	**2**	**3**	**4**	**5**
2.	Buscamos operar fuera de los roles tradicionales	**1**	**2**	**3**	**4**	**5**
3.	Hemos desarrollado nuevas formas de trabajar juntos	**1**	**2**	**3**	**4**	**5**
4.	Hemos desarrollado un plan para compartir responsabilidades en la implementación de nuestras decisiones y acuerdos	**1**	**2**	**3**	**4**	**5**

E.	**Reflexión que causa innovación** En nuestro colegio nosotros:					
1.	Dedicamos tiempo a la constante reflexión (Ejemplo: escribimos un diario, nos guiamos unos a otros, planeamos conjuntamente)	**1**	**2**	**3**	**4**	**5**
2.	Incentivamos la iniciativa individual y de grupo proveyendo acceso a recursos humanos, recursos materiales y tiempo	**1**	**2**	**3**	**4**	**5**
3.	Nos hemos unido a otras instituciones educativas, convenios y programas dentro y fuera de nuestro distrito/área para obtener opiniones acerca de nuestro trabajo	**1**	**2**	**3**	**4**	**5**
4.	Practicamos y apoyamos nuevas formas de hacer las cosas	**1**	**2**	**3**	**4**	**5**
5.	Desarrollamos nuestro propio criterio para monitorear el trabajo individual y de equipo	**1**	**2**	**3**	**4**	**5**

F.	**Alto y consistente rendimiento académico** En nuestro colegio nosotros:					
1.	Trabajamos como miembros de una comunidad para establecer e implementar metas y estándares	**1**	**2**	**3**	**4**	**5**
2.	Enseñamos y evaluamos para que todos los alumnos aprendan	**1**	**2**	**3**	**4**	**5**
3.	Proveemos información a los alumnos y familias acerca del progreso del estudiante	**1**	**2**	**3**	**4**	**5**
4.	Hablamos con familias acerca del rendimiento académico de los alumnos y de nuestros programas	**1**	**2**	**3**	**4**	**5**
5.	Hemos rediseñado roles y estructuras para desarrollar fuerza y consistencia en los alumnos (Ejemplo: maestro como entrenador/consejero/mentor, programas de guía, servicio a la comunidad)	**1**	**2**	**3**	**4**	**5**

PARTE II

Preguntas Relacionadas a las Seis Características de Colegios de Cuadrante 4 de Lambert

1. La primera característica de colegios de Cuadrante 4 es ***"Amplia participación en la capacidad de liderazgo"***

- Mencione algunas cosas que nuestro colegio esta actualmente haciendo bien para reflejar esta característica

- Mencione algunas cosas que nuestro colegio aun necesita hacer mejor para reflejar esta característica

2. La segunda característica de colegios de Cuadrante 4 es ***"Visión compartida y coherencia del programa académico"***

- Mencione algunas cosas que nuestro colegio esta actualmente haciendo bien para reflejar esta característica

- Mencione algunas cosas que nuestro colegio aun necesita hacer mejor para reflejar esta característica

3. La tercera característica de colegios de Cuadrante 4 es *"**Uso de información basada en investigación para tomar decisiones y establecer programas y practicas académicas"***

- Mencione algunas cosas que nuestro colegio esta actualmente haciendo bien para reflejar esta característica

- Mencione algunas cosas que nuestro colegio aun necesita hacer mejor para reflejar esta característica

4. La cuarta característica de colegios de Cuadrante 4 es ***"Roles y acciones que reflejan amplia participación, colaboración y responsabilidad colectiva"***

- Mencione algunas cosas que nuestro colegio esta actualmente haciendo bien para reflejar esta característica

- Mencione algunas cosas que nuestro colegio aun necesita hacer mejor para reflejar esta característica

5. La quinta característica de colegios de Cuadrante 4 es *"**Reflexión que causa innovación."***

- Mencione algunas cosas que nuestro colegio esta actualmente haciendo bien para reflejar esta característica

- Mencione algunas cosas que nuestro colegio aun necesita hacer mejor para reflejar esta característica

6. La sexta característica de colegios de Cuadrante 4 es ***"Alto y consistente rendimiento académico"***

- Mencione algunas cosas que nuestro colegio esta actualmente haciendo bien para reflejar esta característica

- Mencione algunas cosas que nuestro colegio aun necesita hacer mejor para reflejar esta característica

APPENDIX G

Permission from ASCD

Dear Fiorella,

In response to your request dated March 16, 2009 ASCD grants you the one-time non-exclusive right to reproduce and translate 100 copies of the following ASCD materials ("Material") into Spanish, for use in research for your dissertation through Pepperdine University.

Lambert, Linda (2003). Leadership Capacity Survey. In Leadership Capacity for Lasting School Improvement (pp. 110-113). Alexandria, VA: ASCD.

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We would appreciate your acknowledging the above by return email. Otherwise, thank you for your interest in ASCD publications.

Sincerely,
Kat Rodenhizer
ASCD
Rights & Permissions Coordinator
703-575-5443 (phone)
703-575-4978 (fax)
www.ascd.org

APPENDIX H

Cover Letter and Informed Consent Form

Date

Dear SCM Staff Members

The purpose of this study is to assess and better prepare SCM for succession. This study will examine the perceptions of SCM teachers and administrators in regard to Lambert's (2003) six characteristics of Quadrant 4 schools. This study will be conducted in order to determine SCM level of readiness for successful succession and sustainability by establishing to what degree are Lambert's (2003) six characteristics of Quadrant 4 schools commonly practiced at SCM as perceived by teachers and administrators in the school.

Lambert (2003) states that Quadrant 4 schools are schools with a high level of leadership capacity that exhibit six critical characteristics (a) broad-based, skillful participation in the work of leadership; (b) shared vision resulting in program coherence; (c) inquiry-based use of data to inform decisions and practice; (d) roles and actions that reflect broad involvement, collaboration, and collective responsibility; (e) reflective practice that leads consistently to innovation; and (f) high or steadily improving student achievement. Teachers and administrators at SCM will be surveyed to determine their perceptions of Lambert's (2003) six critical characteristics of Quadrant 4 schools in order to establish SCM school level of readiness for successful succession and sustainability. Being a teacher or administrator at SCM makes you eligible for this study.

I would greatly appreciate your assistance by participating in the completion of Lambert's (2003) *Leadership Capacity School Survey*. The survey is anonymous and your participation is voluntary. The survey is designed to take approximately 20 minutes of your time.

The results of the survey will be used only in this study. Should you accept the invitation to participate in the survey, please read the informed consent form attached and only if you wish to participate in the study, complete the anonymous survey and drop it off by October 29, 2010 in a sealed box that will be located in the reception area of the school.

I look forward to receiving your responses. Again, thank you for your kind assistance and support.

Sincerely,

Fiorella Gambini
Doctoral Candidate
Pepperdine University
fiorella.gambini@pepperdine.edu
(enclosure)

Consent for Research Study

Project Title:

Leadership Capacity for Succession and Sustainability

in a Family-Owned Private School

I authorize Fiorella Gambini, M.Ed., a doctoral student under the supervision of Dr. Devin Vodicka in the Graduate School of Education and Psychology at Pepperdine University to include me in the dissertation titled: Leadership Capacity for Succession and Sustainability in a Family-Owned Private School.

I understand my participation in this study is strictly voluntary and will require me to complete an anonymous survey that is designed to take approximately 20 minutes of my time.

I have been asked to participate in this study because I am a teacher or administrator at Sagrado Corazon de La Molina School (SCM), which is useful to assess the leadership capacity of SCM.

I will be asked to complete Lambert's (2003) *Leadership Capacity School Survey,* which is designed to assess the leadership capacity of SCM.

I understand I will not be able to be directly identified by this anonymous survey therefore; there are no obvious risks involved by participating in this study. I also understand there is no immediate direct benefit from my participation, but there may be benefits for the future of our organization or other educational organizations and leaders within them.

I understand I have the right to refuse participation. Moreover, if I become uncomfortable at any time during the survey, I can discontinue my participation and the results will not be used in the study.

I understand that none of the information gathered from participation will be released to others without my permission, or as required by California and Federal law.

I understand that I will not be compensated, financial or otherwise, for participating in this study.

I understand that if I have any questions regarding the study procedures, I can contact Fiorella Gambini, M.Ed. at (address), via telephone (telephone), or via email (fiorella.gambini@pepperdine.edu) for answers. If I have further questions, I may contact Dr. Devin Vodicka at Pepperdine University. If I have further questions about my rights

as a research participant, I may contact Dr. Doug Leigh, Chairperson of the Graduate and Professional School (GPS) IRB Review Board for Pepperdine University at (telephone)

Even though I am not required to sign this informed consent form in order to ensure my anonymity, my participation in this voluntary and anonymous survey indicates I understand to my satisfaction the information in the informed consent form regarding my participation in this research study. All my questions have been answered to my satisfaction. I have received a copy of this informed consent form, which I have read and understand. I hereby consent to participate in the research as described herein.

APPENDIX I

Carta y Consentimiento Para Participar en Estudio

Fecha

Estimados Miembros del Plantel del Colegio Sagrado Corazón de La Molina

El objetivo de este estudio es evaluar la capacidad de liderazgo de nuestro colegio y prepararnos para la sucesión. Este estudio examinara las percepciones de los profesores y administradores de nuestro colegio basado en las seis características de colegios del Cuadrante 4 de Lambert. Este estudio será conducido para determinar que tan preparados estamos como organización para la exitosa sucesión y sostenibilidad de nuestro colegio estableciendo el nivel en que las seis características de colegios de Cuadrante 4 de Lambert son comúnmente practicadas de acuerdo a la percepción de los profesores y administradores del colegio.

De acuerdo a Lambert (2003) los colegios de Cuadrante 4 son instituciones con alta capacidad de liderazgo que presentan seis características (a) amplia participación en el trabajo de liderazgo; (b) visión compartida y coherencia del programa académico; (c) uso de información basada en investigación para tomar decisiones y establecer programas y practicas académicas; (d) roles y acciones que reflejan amplia participación, colaboración y responsabilidad colectiva; (e) reflexión que causa innovación y (f) alto y consistente rendimiento académico. Ser profesor u administrador en nuestro colegio lo califica para participar en este estudio.

Apreciaría mucho su ayuda participando en completar la *Encuesta de Capacidad de Liderazgo* de Lambert (2003). Esta encuesta es anónima y su participación es voluntaria. La encuesta esta diseñada para tomar aproximadamente 20 minutos de su tiempo.

Los resultados de la encuesta serán usados solo para este estudio. De aceptar participar en esta encuesta le pido por favor leer el formulario de consentimiento adjunto y solo si desea participar en el estudio responder a la encuesta anónima y depositarla a mas tardar el 29 de Octubre de 2010 en una caja sellada que se encontrara localizada en la recepción del colegio.

Espero recibir sus respuestas. De nuevo, muchas gracias por su ayuda y apoyo

Sinceramente,

Fiorella Gambini
Candidata a Doctorado
Pepperdine University
fiorella.gambini@pepperdine.edu
(adjunto)

Consentimiento Para Participar en Estudio

Titulo del Proyecto:

Capacidad de Liderazgo Para la Sucesión y Sostenibilidad

en un Colegio Privado Propiedad de una Familia

Yo autorizo a Fiorella Gambini, M.Ed., estudiante de doctorado bajo la supervisión del Dr. Devin Vodicka en el Graduate School of Education and Psychology de Pepperdine University para incluirme a mí en la disertación titulada: Capacidad de Liderazgo Para la Sucesión y Sostenibilidad en un Colegio Privado Propiedad de una Familia.

Yo entiendo que mi participación en este estudio es estrictamente voluntaria y requerirá que complete una encuesta anónima diseñada para tomar 20 minutos de mi tiempo.

Me han pedido participar en este estudio porque soy un profesor (a) u administrador (a) en el Colegio Sagrado Corazón de La Molina (SCM) lo cual es útil y necesario para evaluar la capacidad de liderazgo del Colegio SCM.

Me van a pedir completar la *Encuesta de Capacidad de Liderazgo* de Lambert (2003) diseñada para evaluar la capacidad de liderazgo del Colegio SCM.

Entiendo que no voy a poder ser identificado directamente debido a que esta encuesta es anónima por lo cual no existen riesgos obvios por participar en este estudio. También entiendo que no existe ningún beneficio directo ni inmediato por mi participación pero que puede haber beneficios para el futuro de nuestra institución u otras instituciones educativas y los lideres en ellas.

Entiendo que tengo derecho a no participar en este estudio. Es mas, si en cualquier momento de la encuesta me siento incomodo, puedo dejar de participar y los resultados no se usaran en el estudio.

Entiendo que nada de la información obtenida de mi participación en este estudio será distribuida a otros sin mi permiso como es requerido por la ley Federal de los Estados Unidos y de California.

Entiendo que si tengo alguna pregunta acerca de los procedimientos del estudio puedo contactar a Fiorella Gambini, M.Ed. a (dirección), por teléfono (teléfono), o por correo electrónico (fiorella.gambini@pepperdine.edu) para responder mis preguntas. Si tengo mas preguntas puedo contactar al Dr. Devin Vodicka en Pepperdine University. Si aun tengo mas interrogantes acerca de mis derechos como participante de este estudio puedo contactar al Dr. Doug Leigh, Chairperson del Graduate and Professional School (GPS) IRB Review Board de Pepperdine University al (teléfono)

A pesar de no ser requerido a firmar este formulario de consentimiento para asegurar mi anonimato, mi participación en este encuesta anónima y voluntaria indica que entiendo satisfactoriamente la información en este formulario de consentimiento acerca de mi participación en este estudio. Todas mis preguntas e interrogantes han sido respondidas. He recibido una copia de este formulario de consentimiento el cual he leído y entendido. Debido a eso doy mi consentimiento para participar en el estudio aquí descrito.

APPENDIX J

Permission to Conduct Research

March 20, 2009

Doug Leigh, Ph.D.
Chair, Graduate & Professional School Institutional Review Board
Pepperdine University
24255 Pacific Coast Highway
Malibu, CA 90263-4608

Dear Dr. Leigh,

Our organization is supportive of Fiorella Gambini's research in assessing the leadership capacity of Sagrado Corazón de La Molina School (SCM). I understand the scope of what is involved with participation in the study and allow her to contact both teachers and administrators within our organization for participation.

Thank you for your attention to this matter.

Sincerely,

Norma Montes
Academic Director
Sagrado Corazón de La Molina School

APPENDIX K

Permiso Para Conducir Estudio

Marzo 20, 2009

Doug Leigh, Ph.D.
Chair, Graduate & Professional School Institutional Review Board
Pepperdine University
24255 Pacific Coast Highway
Malibu, CA 90263-4608

Estimado Dr. Leigh,

Nuestra organización apoya el estudio de Fiorella Gambini acerca de evaluar la capacidad de liderazgo de nuestro colegio. Entiendo el estudio y se en que consiste nuestra participación en el por lo cual le he concedido permiso a Fiorella Gambini de contactar a los profesores y administradores del plantel para solicitar su participación.

Gracias por su atención a este asunto.

Sinceramente,

Norma Montes
Directora Académica
Colegio Sagrado Corazón de La Molina

APPENDIX L

IRB Approval Letter

Protocol #: O0910M09

Project Title:

Leadership Capacity for Succession and Sustainability in a Family-Owned Private School

Dear Ms. Gambini:

Thank you for submitting your application, *Leadership Capacity for Succession and Sustainability in a Family-Owned Private School,* for exempt review to Pepperdine University's Graduate and Professional Schools Institutional Review Board (GPS IRB). The IRB appreciates the work you and your faculty advisor, Dr. Devin Vodicka, have done on the proposal. The IRB has reviewed your submitted IRB application and all ancillary materials. Upon review, the IRB has determined that the above entitled project meets the requirements for exemption under the federal regulations (45 CFR 46 - http://www.nihtraining.com/ohsrsite/guidelines/45cfr46.html) that govern the protections of human subjects. Specifically, section 45 CFR 46.101(b)(1) states:

(b) Unless otherwise required by Department or Agency heads, research activities in which the only involvement of human subjects will be in one or more of the following categories are exempt from this policy:

Category (1) of 45 CFR 46.101, research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

In addition, your application to waive documentation of consent, as indicated in your **Application for Waiver or Alteration of Informed Consent Procedures** form has been **approved**.

Your research must be conducted according to the proposal that was submitted to the IRB. If changes to the approved protocol occur, a revised protocol must be reviewed and approved by the IRB before implementation. For any proposed changes in your research protocol, please submit a **Request for Modification Form** to the GPS IRB.

Because your study falls under exemption, there is no requirement for continuing IRB review of your project. Please be aware that changes to your protocol may prevent the research from qualifying for exemption from 45 CFR 46.101 and require submission of a new IRB application or other materials to the GPS IRB.

A goal of the IRB is to prevent negative occurrences during any research study. However, despite our best intent, unforeseen circumstances or events may arise during the research. If an unexpected situation or adverse event happens during your investigation, please notify the GPS IRB as soon as possible. We will ask for a complete explanation of the event and your response. Other actions also may be required depending on the nature of the event. Details regarding the timeframe in which adverse events must be reported to the GPS IRB and the appropriate form to be used to report this information can be found in the *Pepperdine University Protection of Human Participants in Research: Policies and Procedures Manual*
(see link to "policy material" at http://www.pepperdine.edu/irb/graduate/).

Please refer to the protocol number denoted above in all further communication or correspondence related to this approval. Should you have additional questions, please contact me. On behalf of the GPS IRB, I wish you success in this scholarly pursuit.

Sincerely,

Doug Leigh, Ph.D.
Associate Professor of Education
Pepperdine University Graduate School of Education and Psychology
6100 Center Dr. 5th Floor
Los Angeles, CA 90045

APPENDIX M

Factor Analysis

FOR SECTION A OF SURVEY

Descriptive Statistics Section

Variables	Count	Mean	Standard Deviation	Communality
A1	50	3.4	0.9476071	0.504510
A2	50	3.52	1.09246	0.710089
A3	50	3.1	0.952976	0.470427
A4	50	3.66	0.9391703	0.583087
A5	50	3.6	0.9476071	0.759127
A6	50	3.92	0.944155	0.408014
A7	50	3.34	0.9606546	0.570916

Correlation Section

	Variables				
Variables	**A1**	**A2**	**A3**	**A4**	**A5**
A1	1.000000	0.504673	0.112996	0.110071	0.568182
A2	0.504673	1.000000	0.458704	0.513980	0.697868
A3	0.112996	0.458704	1.000000	0.563215	0.316389
A4	0.110071	0.513980	0.563215	1.000000	0.348558
A5	0.568182	0.697868	0.316389	0.348558	1.000000
A6	0.196169	0.476444	0.371983	0.452020	0.396900
A7	0.251088	0.547600	0.474826	0.492663	0.578400

Phi=0.455640 Log(Det|R|)=-3.006773 Bartlett Test=137.81 DF=21 **Prob=0.000000**

	Variables	
Variables	**A6**	**A7**
A1	0.196169	0.251088
A2	0.476444	0.547600
A3	0.371983	0.474826
A4	0.452020	0.492663
A5	0.396900	0.578400
A6	1.000000	0.570614
A7	0.570614	1.000000

Phi=0.455640 Log(Det|R|)=-3.006773 Bartlett Test=137.81 DF=21 **Prob=0.000000**

FOR SECTION B OF SURVEY

Descriptive Statistics Section

Variables	Count	Mean	Standard Deviation	Communality
B1	50	3.34	1.205599	0.281000
B2	50	2.92	1.275195	0.620903
B3	50	3.12	0.939822	0.606666
B4	50	3.16	1.0174	0.396373

Correlation Section

	Variables			
Variables	**B1**	**B2**	**B3**	**B4**
B1	1.000000	0.164075	0.305479	0.287510
B2	0.164075	1.000000	0.570121	0.419054
B3	0.305479	0.570121	1.000000	0.470412
B4	0.287510	0.419054	0.470412	1.000000

Phi=0.392605 Log(Det|R|)=-0.817708 Bartlett Test=38.30 DF=6 **Prob=0.000001**

FOR SECTION C OF SURVEY

Descriptive Statistics Section

Variables	Count	Mean	Standard Deviation	Communality
C1	50	3.66	0.9606546	0.637383
C2	50	3.38	1.007928	0.505308
C3	50	3.74	0.7507819	0.729032
C4	50	3.52	0.8388525	0.497641
C5	50	3.52	0.9089128	0.557393

Correlation Section

	Variables				
Variables	**C1**	**C2**	**C3**	**C4**	**C5**
C1	1.000000	0.431234	0.638920	0.527775	0.627331
C2	0.431234	1.000000	0.322007	0.461505	0.470485
C3	0.638920	0.322007	1.000000	0.575503	0.531142
C4	0.527775	0.461505	0.575503	1.000000	0.494650
C5	0.627331	0.470485	0.531142	0.494650	1.000000

Phi=0.515975 Log(Det|R|)=-1.940707 Bartlett Test=90.24 DF=10 **Prob=0.000000**

FOR SECTION D OF SURVEY

Descriptive Statistics Section

Variables	Count	Mean	Standard Deviation	Communality
D1	50	3.42	0.7024738	0.266718
D2	50	3.52	0.7886956	0.414378
D3	50	3.36	1.025392	0.637364
D4	50	3.14	0.9478225	0.697241

Correlation Section

	Variables			
Variables	**D1**	**D2**	**D3**	**D4**
D1	1.000000	0.260794	0.352456	0.430955
D2	0.260794	1.000000	0.470382	0.255531
D3	0.352456	0.470382	1.000000	0.556039
D4	0.430955	0.255531	0.556039	1.000000

Phi=0.402843 Log(Det|R|)=-0.863679 Bartlett Test=40.45 DF=6 **Prob=0.000000**

FOR SECTION E OF SURVEY

Descriptive Statistics Section

Variables	Count	Mean	Standard Deviation	Communality
E1	50	3.06	1.132272	0.591829
E2	50	3.4	0.9689043	0.744415
E3	50	3.3	1.111168	0.072683
E4	50	3.4	0.9035079	0.722400
E5	50	3.54	0.787919	0.668516

Correlation Section

	Variables				
Variables	**E1**	**E2**	**E3**	**E4**	**E5**
E1	1.000000	0.628766	0.131389	0.235398	0.397577
E2	0.628766	1.000000	0.151647	0.489565	0.593464
E3	0.131389	0.151647	1.000000	0.243935	0.207459
E4	0.235398	0.489565	0.243935	1.000000	0.665087
E5	0.397577	0.593464	0.207459	0.665087	1.000000

Phi=0.422592 Log(Det|R|)=-1.640694 Bartlett Test=76.29 DF=10 **Prob=0.000000**

FOR SECTION F OF SURVEY

Descriptive Statistics Section

Variables	Count	Mean	Standard Deviation	Communality
F1	50	3.26	1.006307	0.257894
F2	50	3.92	0.7515969	0.488714
F3	50	4.12	0.7182746	0.455343
F4	50	4.16	0.5841442	0.798481
F5	50	3.9	0.7354022	0.205270

Correlation Section

	Variables				
Variables	**F1**	**F2**	**F3**	**F4**	**F5**
F1	1.000000	0.324874	0.266536	0.101376	0.091004
F2	0.324874	1.000000	0.358374	0.355134	0.354458
F3	0.266536	0.358374	1.000000	0.585625	0.254995
F4	0.101376	0.355134	0.585625	1.000000	0.370556
F5	0.091004	0.354458	0.254995	0.370556	1.000000

Phi=0.334758 Log(Det|R|)=-0.968160 Bartlett Test=45.02 DF=10 **Prob=0.000002**

APPENDIX N

Attribute Conversion Chart

Survey Section	Mean (Teachers & Administrators)	STDV	Very Low	Low	Average	High	Very High
Section A	24.54	4.87	9.93 – 14.7	14.8 –19.66	19.67 –29.40	29.41 –34.27	34.28– 39.15
Section B	12.54	3.2	2.94 – 6.13	6.14 – 9.33	9.34 – 15.73	15.74 –18.93	18.94 –22.14
Section C	17.82	3.47	7.41 – 10.87	10.88 –14.34	14.35 –21.28	21.29 –24.75	24.76 –28.23
Section D	13.44	2.58	5.7 – 8.27	8.28 – 10.85	10.86 –16.01	16.02 – 18.5	18.6 – 21.18
Section F	16.7	3.42	6.44 – 9.85	9.86 – 13.27	13.28 –20.11	20.12 –23.53	22.54 –26.96
Section E	19.36	2.5	11.86 – 14.35	14.36 –16.85	16.86 –21.85	21.86 –24.35	24.36 –26.86