WHAT SPECIFIC ACTIONS AND LEADERSHIP QUALITIES DOES A SCHOOL LEADER EXHIBIT TO CREATE AND FOSTER A SCHOOL DEDICATED TO THE DEVELOPMENT AND IMPLEMENTATION OF THE PRIMARY YEARS PROGRAM OF THE INTERNATIONAL BACCALAUREATE PROGRAM?

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DISSERTATION

Submitted in partial fulfillment of the requirements for the degree of

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A Dissertation

by

Carolyn J. Nichols

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I certify that this student has met the requirements for format contained in the University format manual, and that this dissertation is suitable for shelving in the library and credit is to be awarded for the dissertation.

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Carlos Nevarez, Ph.D.  _____________________

Date
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I would like to acknowledge the support of the Director/Principal of Valley Basin School. Without her ‘leap of faith’ with this study, it would not have been possible. I owe her a debt of thanks.

It is with heartfelt appreciation that I would like to acknowledge the support of my family. Without their understanding and strength, the goal of accomplishing this body of work would not have been possible.
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Assistant Superintendent, 2006 – present
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In addition, the Assistant Superintendent is responsible for the following:

- Special Education
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- Music/Band/Chorus/Strings
- Counseling for At-Risk 7th and 8th grade students
- After school Spanish Enrichment
Principal of Franklin School, 2001 – 2006

Served the Loomis Union School District as the principal of a K-8 semi-rural high-income school of 600 students and 50 staff members. Staff development was a cornerstone of my work. Implemented intervention and enrichment program such as: Read Naturally, Reading Counts, Scholastic Reading Inventory, Science Docent program, and Garden docent program. Developed and implemented motivational programs targeted at the middle school students – Block Schedule, Diversity Days, A.C.E./P.A.C.E. student reward program. Designed and implemented school-wide technology and library plans.

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Privileged to serve a highly diverse, low-income school in the Meadowview community in Sacramento. The school educated students from preschool through sixth grade with a school population of 775 student and 66 staff members. Responsibilities included leading the school through a period of significant change, writing the school-wide plan for Title 1 to improve student achievement, implementing a Healthy Start Program as a project school, a Head Start Preschool, and a Spanish Immersion Program. Created a Teacher Academy based on the model of CSLA for staff development. With the staff co-wrote and was awarded a federal Comprehensive School Reform Demonstration (CSRD) Grant and created a successful partnership with Peabody College at Vanderbilt University to implement the COMP reform
model. Served on the SCUSD Curriculum Council and the SCUSD English Learner Task Force.

Western Placer Unified School District, Placer County       ADA 2500

Interim Vice Principal of Glen Edwards Middle School, 1993-1994
Served as the interim vice principal (Nov. 1993 – June 1994) of the then rural 6-8 grade middle school with leadership focused on student discipline process. Created a High Achievers Program and an Opportunity Program to support student achievement.

Center Unified School District, Sacramento County       ADA 5000

Grant Coordinator at Dudley Elementary School, Center Unified School District, Antelope, California, 1992-1993
Co-wrote and coordinated the implementation of an SB 1274 Restructuring Grant for Dudley School. Worked in coordination with the site principal and the director of the California School Leadership Academy at the Sacramento County Office of Education to implement the Teacher Institute at Dudley School.

Professional Experience

Teacher at Dudley Elementary School, Center Unified School District, 1985-1993

Taught sixth grade in the multi-track year-round school of 800 students. Served as the ‘Track Leader’, implemented the Conflict Managers Program, instituted the sixth grade performance based assessment program and student portfolio project. Served on the Math and History Social Science adoption committees. Provided an instructional segment for the Sacramento County Office of Education video series of implementing the History Social Science framework under the direction of Jan Talbot. Worked with Dr. Sandra Kaplan in implementing a concepts based constructivist curriculum.
Teacher in Lincoln County School District, Lincoln County, Oregon, 1977-1985

Taught special education, third grade, fourth grade, and a fifth/sixth combination class. Served on the School Site Council, facilitated fundraising for playground equipment, worked directly in creating a full inclusion special education model.
Abstract

WHAT SPECIFIC ACTIONS AND LEADERSHIP QUALITIES DOES A SCHOOL LEADER EXHIBIT TO CREATE AND FOSTER A SCHOOL DEDICATED TO THE DEVELOPMENT AND IMPLEMENTATION OF THE PRIMARY YEARS PROGRAM OF THE INTERNATIONAL BACCALAUREATE PROGRAM?

by

Carolyn J. Nichols

The International Baccalaureate programs have demonstrated significant growth and popularity in the United States in recent years. A new school dedicated to implementing the Primary Years Program of the International Baccalaureate Organization provided the opportunity for research on the specific actions and qualities of a principal as the Primary Years Program is developed and implemented. This mixed method study of the leadership of the developing Primary Years school leaned heavily on qualitative interviews of key stakeholders of the school to determine a set of key findings for future school leaders of Primary Years Schools. It was concluded that school leaders best serve their school communities as transformational leaders but needed key elements of leader/managers to succeed in the leadership challenge.
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Chapter 1

INTRODUCTION

Over the past four decades a growing number of schools throughout the world have adopted the International Baccalaureate (IB) program including: Title 1 schools in South Carolina, where 60% of the students qualify for free or reduced-price lunch; neighborhood schools in Colorado; and an American School in Bombay, India with an enrollment of 200 students representing 25 different nationalities. Worldwide the IB program is in 138 countries. The United States has seen the fastest growth in adopting and implementing IB schools. In the United States there are 1122 public schools offering either the Primary Years Program, Middle Years Program or Diploma Program, which are authorized by IB World Schools (IB Fast Facts, n.d.). These are samples of the success and growth of IB schools.

The International Baccalaureate Organization (IBO) is a not-for-profit foundation registered in Switzerland. The International Baccalaureate (IB) program aims to develop inquiring, knowledgeable and caring young people who help to create a better and more peaceful world through intercultural understanding and respect. To this end, the IBO works with schools, governments, and international organizations to develop challenging programs of international education and rigorous assessments. These programs encourage students across the world to become active, compassionate and lifelong learners who understand that other people, with their differences, can also be right (Mission and Strategy, n.d.).
The main activities of the IBO are the development of curriculum, assessment of students (emphasis on the Diploma Program), training and professional development of teachers, and the authorization and evaluation of schools. IBO has authorized 2,845 schools in 138 countries to offer the three IB programs to approximately 768,000 students. There are currently 620 schools offering the PYP, 759 schools offering the MYP and 2068 schools offering the DP which total the over one-quarter million students receiving an education focused on an international perspective (IBO.org).

The International Baccalaureate Organization (IBO) offers three programs: International Baccalaureate Diploma Programme (DP) for students in the final two years of their secondary school program, International Baccalaureate Middle Years Programme (MYP) for students ages 11–16, and the International Baccalaureate Primary Years Programme (PYP) for students ages 3–12. Each programme includes a curriculum and pedagogy, student assessment appropriate to the age range, professional development for teachers and a process of school authorization and (What Does the International Baccalaureate Offer, 2010). Each program encourages a positive attitude to learning by encouraging students to ask challenging questions, to reflect critically, to develop research skills, and to learn how to learn. We encourage community service because we believe that there is more to learning than academic studies alone. (What Makes the International Baccalaureate Unique? n.d.). It is important to note that, while it is the ideal that students follow the sequence of the programs beginning with the PYP, it is not at all mandatory. Students can begin their
learning with IB at any phase. The Diploma Program has particular requirements in place to ensure the potential success of students pursuing this more intensive college bound experience.

The three programs form a sequence of learning through the promotion of educating the whole person through an emphasis on the intellectual, personal and social growth of the individual. This is done in schools using all domains of knowledge and involving the major traditions of learning of languages, humanities, sciences, mathematics and the arts (Mission and Strategy, n.d.). All three IB programs help develop the intellectual, personal, emotional and social skills to live, learn and work in a rapidly globalizing world (What is the International Baccalaureate®, n.d.). Students apply their knowledge through individual and collaborative projects and research. A final component is community service that requires action and reflection as to the effects that community service provides in one’s growth as a human being. IB was designed after World War II for the children of diplomats who sought an internationally recognized secondary school diploma that would command respect around the world. The Diploma Program (DP), established in 1968, provides a package of education that balances subject breadth and depth, and considers the nature of knowledge across disciplines through the unique theory of knowledge course, encouraged international-mindedness in IB students, starting with a foundation in their own language and culture (What is the IB Diploma Program?, n.d.). To receive an IB diploma, seniors in high school must pass written college-level exams in six core
subjects, including at least one foreign language. In addition, the degree requires students to write a 4,000 word thesis and complete lessons in philosophy.

The International Baccalaureate Organization believes in a global community as evidenced in its stated mission:

The International Baccalaureate aims to develop inquiring, knowledgeable and caring young people who help to create a better and more peaceful world through intercultural understanding and respect. To this end, the organization works with schools, governments and international organizations to develop challenging programs of international education and rigorous assessment. These programs encourage students across the world to become active, compassionate and lifelong learners who understand that other people, with their differences, can also be right. (Mission and Strategy, n.d.).

A growing number of university entrance committees worldwide recognize the IB credentials (Nugent & Karnes, 2002). The success of the recognition of the IB Diploma program for college entrance spurred the development of two additional International Baccalaureate programs for children as young as three years of age: the Middle Years Program (MYP) in 1994 and the Primary Years Program (PYP) in 1997. The International Baccalaureate “promotes intercultural understanding and respect, not as an alternative to a sense of cultural and national identity, but as an essential part of life in the 21st century” (Mission and Strategy, n.d.). Potential exists for a comprehensive study of students participating in all three programs to understand the net effect of this educational opportunity as well as collecting evidence about students
who participate in one or two programs versus all three. To date the ramifications of a students’ education parceled out in the various iterations of participating in an IB program and then not participating in an IB program over the course of a K-12 experience has not been noted in existing literature.

The PYP promotes inquiry as the leading pedagogical approach and uses inquiry as a means of developing knowledge and acquiring skills derived from science and social studies. To support this inquiry, students would develop knowledge and acquire skills derived from social studies, arts, and personal, social and physical education. In addition, they would develop transdisciplinary skills such as decision-making, listening, collecting data and working cooperatively (Primary Years Programme Curriculum Framework, n.d.). The MYP provides a balanced education that will equip young people for effective participation in the modern world (Middle Years Programme Curriculum, n.d.).

Among the three programs of IB are shared features. Each program:

- requires study across a broad and balanced range of knowledge domains including languages, humanities, science and technology, mathematics and the arts, drawing on content from educational cultures across the world
- gives special emphasis to language acquisition and development
- provides opportunities for engaging in transdisciplinary learning
- focuses on developing the skills of learning, culminating in a study of the Theory of Knowledge in the Diploma Program
includes, to a varying extent, the study of individual subjects and of transdisciplinary areas

provides students with opportunities for individual and collaborative planning and research

includes a community service component requiring action and reflection.

Conceptually, building a school upon the notion of an international education is unique in the current standards-based school environment. The International Baccalaureate program offers no single approach to the pedagogy for students to acquire an international understanding other than the strong encouragement of inquiry as a foundational element of instruction and learning. While some may question if IB is parallel to either a Waldorf or a Montessori education, it is not the intent of this study to draw comparisons or look for similarities to these programs that stand on their own merits. The IB program offers schools flexibility to respond to local and/or state requirements. However, at the heart of each of the three IB programs is the intent to provide students access to what is shared and what is different in the human experience. To that end, the international baccalaureate program strives to meet the following criteria in developing internationally minded students:

- developing citizens of the world – culture, language and learning to live together
- building and reinforcing students’ sense of identity and cultural awareness
- fostering students’ recognition and development of universal human values
- stimulating curiosity and inquiry in order to foster a spirit of discovery and enjoyment of learning
- equipping student with the skills to learn and to acquire knowledge, individually or collaboratively, and to apply these skills and knowledge accordingly across a broad range of areas
- providing international content while responding to local requirements and interests
- encouraging diversity and flexibility in pedagogical approaches

providing appropriate forms of assessment and international benchmarking. (A Continuum of International Education: The Primary Years Programme, the Middle Years Programme and the Diploma Programme, 2002, p. 7)

Primary Years Program

The Primary Years Program was introduced in 1997 as a comprehensive curriculum framework. The former International Schools Curriculum Project developed the program over a span of 10 years. The purpose was to produce a common international curriculum and to develop in children the paradigm of international-mindedness.

In PYP classes students, ages 3–12, have to think about what they know and what they do not know. Learning is constructed through three essential questions: (a) What do we want to learn? (b) How best will we learn? And, (c) How will we know what we have learned? The PYP focuses on building five transdisciplinary skills through the use of structured inquiry: thinking, communication, socializing,
researching, and self-management. The ultimate goal of this ongoing process is the construction of meaning for the student.

The common pedagogy and heart of the PYP is inquiry-based learning. The eight fundamental concepts are expressed as questions and support inquiry-based teaching and learning. These concepts drive each unit of inquiry.

Table 1

*Primary Years Program IB Concepts*

<table>
<thead>
<tr>
<th>PYP IB Concepts</th>
<th>Function</th>
<th>Form</th>
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<tr>
<td><strong>Function</strong></td>
<td>How does it work?</td>
<td>What is it like?</td>
</tr>
<tr>
<td><strong>Causation</strong></td>
<td>Why is it like it is?</td>
<td></td>
</tr>
<tr>
<td><strong>Change</strong></td>
<td>How is it changing?</td>
<td></td>
</tr>
<tr>
<td><strong>Connection</strong></td>
<td>How is it connected to other things?</td>
<td></td>
</tr>
<tr>
<td><strong>Perspective</strong></td>
<td>What are the points of view?</td>
<td></td>
</tr>
<tr>
<td><strong>Responsibility</strong></td>
<td>What is our responsibility?</td>
<td></td>
</tr>
<tr>
<td><strong>Reflection</strong></td>
<td>How do we know?</td>
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(Primary Years Programme Curriculum Framework, n.d.)

The theoretical framework upon which this program was built does not point to an existing theoretical model but rather a hybrid model with strong indicators of roots in Social Inquiry, a subset of the Critical Theory Framework. This is exemplified in
program elements that encourage each student to internalize and demonstrate the following elements identified as learner profiles: tolerance, respect, integrity, independence, enthusiasm, empathy, curiosity, creativity, cooperation, confidence, commitment and appreciation.

All PYP schools require the instruction to be planned collaboratively by the teachers and either a Curriculum Coordinator or Principal. Much of the design of the collaborative team planning team is determined by the size of the school and with the consideration, communication and approval of IBO. Incorporated in all units is a sequence of developmental skills, knowledge, attitudes, and inquiry all focused on six themes or units: Who we are; where we are in place and time; how we express ourselves; how the world works; how we organize ourselves; and how we share the planet. These six themes (units) are infused in every grade level in PYP schools and are required to incorporate a core set of concepts which are: form (What is it like?), function (How does it work?), causation (Why is it like it is?), connection (How is it connected to other things?), perspective (What are the points of view?), responsibility (What is our responsibility?), and reflection (How do we know?). All PYP schools are expected to adhere to this framework for the collaborative planning by the teaching staff. This framework ensures consistency from school to school while emphasizing the meaning and understanding that is a hallmark of the PYP program.

A final dimension of the PYP is the promotion of international-mindedness. PYP ensures that the learning is significant, relevant, engaging, and challenging, so that the child can reflect on the connections between life in school, life at home and
life in the world. The transdisciplinary themes have global significance; they promote an awareness of the human condition and an understanding that there is a commonality of human experience (A Basis for Practice - The Primary Years Programme, 2002). Developing international sensitivity is done through key questions designed by the teacher that are derived from the concepts and through the developed curriculum and the requirement that the students learn a second language as a component of the program. These elements provide learners with insight and appreciation of other cultures and other perspectives. The learner profiles work in concert with this dimension in building attitudes that are essential to the PYP program.

It is important to note that to be an authorized IB PYP school a school must undergo a lengthy authorization process [Appendix T]. A school must document and demonstrate to trained IB consultants that they have developed a comprehensive program that incorporates all elements of the PYP program and that the students, teachers, and principal are successful and committed to the program. Chapter 2 will further define the dimensions of the PYP so that it can be contextualized to understand ‘how’ and ‘what’ a school leader must do to implement the PYP.

Statement of the Problem

In California there are currently 12 elementary schools that meet the criteria to be designated and certified as Primary Years Program (PYP) IB schools (Find an IB World School, 2010). In order to be able to offer the program, schools must move through an intensive authorization process that lasts at least two years and includes site visits conducted by a consultant from the International Baccalaureate Organization.
(Becoming an International Baccalaureate World School, 2010). Additionally, schools must manage to meet the International Baccalaureate standards, pay processing and subscriptions fees, and apply for authorization (Chmelynski, 2005). It is possible for schools to take between 18 months and three years to be accepted into the program.

Many schools either have converted to a PYP school or are currently undergoing the conversion process to become a PYP school. These are schools that have been considered “traditional schools” that have taken on the challenge of converting from being an exclusively standards-based learning environment to an IB school and have selected the PYP as a reform strategy with the intent of raising student achievement. Uniquely, there is one school in northern California, Valley Basin School (VBS), which opened in August of 2008, not as a conversion school but rather as a brand new charter school. This school was inspired by the vision of the school superintendent and supported by the board of trustees of the school district to have the new school dedicated to become an authorized PYP school.

The topic of school leadership for IB programs in general and for the Primary Years Program in particular a field of educational research that has not yet been investigated. The IB website does, however, indicate that a school principal is charged with, but not limited to, student recruitment, parent relations, instructional leadership and routine activities that one would expect of a school principal in the state of California. It is expected that a principal of an IB school would have deep pedagogical knowledge of the tenets of the PYP program and structured inquiry. The unique dynamic of having a new school, the opportunity to study the leadership of a principal
new to the International Baccalaureate program and to determine what, if any, leadership framework is utilized as the school evolves is an appealing research topic.

VBS is fertile ground for researching the leadership of the school principal. The opportunity to research a school leader in the context of starting a new school, whose goal is to become an authorized PYP school, inspired the researcher to delve into understanding the role of the school leader and the topic of school leadership. The researcher also hoped to develop an understanding of what, if any, specific framework of leadership is utilized to start a new school that is implementing the PYP. To date there is no literature, dissertations or like schools to review to support or provide background information for this study.

In the field of education, there are three models of school leadership that have distinct differences, which can potentially be applied in different circumstances. The standards-based school model lends itself to a leadership style that is transactional. The International Baccalaureate Organization supports a leadership style that is distributive. A third model of leadership is transformational leadership. This study is designed to carefully inspect and provide insight as to what type of leadership style is exhibited at VBS or if multiple styles are utilized by the principal while implementing PYP.

Purpose Statement

School leadership is a unique dynamic. To be a successful school leader an individual must be capable of utilizing a variety of skills and abilities at any one time depending on the circumstances. Schools need special leadership because schools
themselves are special places (Sergiovanni, 2000). Leadership involves the identification, acquisition, allocation, coordination, and use of the social, material, and cultural resources necessary to establish the conditions for the possibility of teaching and learning (Spillane, Halverson, & Diamond, 2001). The work of a school leader can be categorized into routine behaviors, community interactions, institutional interactions, beliefs and experiences, instructional climate, instructional organization and student outcomes (Dwyer, 1985). A closer inspection of the instructional organization reveals that a school leader deals daily with the academic curriculum, pedagogy, staff development, parent concerns, student issues, school management and the policies and mandates of the state. Within the context of the instructional organization lies the work and art of school leadership.

The purpose of this research was to investigate the purposeful activity of a school leader in the development and implementation of the Primary Years Program. By using a mixed methods approach, it was anticipated that the research would identify specific actions and leadership qualities of a school principal, whose job is to create a new school dedicated to the implementation of the IB PYP program. Further, the research determined which, if any, specific model of leadership supports the successful implementation the program. By identifying specific actions and leadership qualities that are utilized at VBS, it was anticipated that future PYP school leaders would have a model that can guide the implementation of this program.
Research Questions

This study used a mixed methods design. It was framed with an emphasis on a case study of the school leader, the principal, but it was essential to garner opinions and perspectives from all stakeholders. All research elements focused on the following four research questions:

- Research Question #1: What specific actions and leadership qualities does a school leader exhibit to create a school dedicated to the development and implementation of the Primary Years Program?
- Research Question #2: In what, if any, ways does the leadership change over the course of the implementation of the PYP?
- Research Question #3: What factors affect the leadership qualities of the school principal developing the PYP?
- Research Question #4: What, if any, leadership style prevails in an emerging PYP school?

The study of the leadership of the PYP school depended heavily on qualitative research using case study methodology. Wolcott (as cited in Merriam, 1998, p. 148) describes qualitative research as “systematically ‘watching,’ ‘asking,’ and ‘reviewing’ of activities.”

Data collection in this study relied on interviews and surveys from the stakeholders at VBS. To understand the dynamic of the school community, the students who have attended the school since the doors opened in 2008 who are currently in grades 4 and 5 were asked to participate in the study. Parents of these
students were asked to be a part of this study, and teachers of these grades who, like
the students, have been a part of the school since 2008 were asked to participate as
well. Likert Scale inventories and interviews provided data revealing perspectives
from the multiple stakeholders.

Significance of the Study

Opening a brand new school dedicated to implementing the PYP program is
unique in California. It is often the case that traditional schools have converted to the
IB program as a response to the need to improve student achievement. VBS provided
fertile ground for new research on the leadership utilized during implementation of the
PYP in a new school. Further, a goal of this research was to recommend if a specific
theoretical framework of school leadership should be utilized by a school leader with
similar school parameters.

Thus, it was the intention of this researcher to first inform the reader about the
PYP program and the theoretical framework that provides the foundation for the
program. Then the research in this study was designed to capture, through interviews
and surveys the leadership used to implement PYP in a new school. The surveys
provided to students, teachers, and parents were intended to capture their perceptions
as to the success of the school and what the leadership of the school had conveyed to
each stakeholder regarding the PYP program, a vision for instruction, and the
leadership utilized during the implementation phase. Importantly, it was the intention
of this researcher to identify what the school leader considered before taking specific
actions that affected the school and to use the insights gained from this research to
make recommendations that would provide a framework to assist other school leaders to successfully implement the PYP.

Definition of Terms

The following definitions are provided to ensure uniformity and understanding of the terms throughout the study.

*DP – Diploma Program:* Is grounded in developing the *Theory of Knowledge*, emphasizes creativity, action and service. Students are assessed on extended essays. Specific subject goals and content are organized in six groups and in either one or two languages. The Diploma Program is for students in the final two years of secondary school.

*IBO: International Baccalaureate Organization:* The non-profit organization and foundation provides for IB schools support with the development of curriculum, support with assessment of the students, training and professional development of teachers, and authorization and evaluation of schools.

*International Baccalaureate:* IB program offers a continuum of high-quality education that encourages international-mindedness and a positive attitude towards learning. The programs are accessible to students in 131 countries through cooperation with the worldwide community of IB World Schools.

*International-mindedness:* The desired mental construct of all teachers and students in an IB school. International-mindedness is developed through the units of study, acquisition of a second language, and the development of the skills, knowledge and attitudes that are embedded in all three IB programs.
**MYP – Middle Years Program:** The middle years program develops fundamental concepts through holistic learning, intercultural awareness and communication. There are five levels of program interaction: *Approaches to learning, Community and service, Homo faber* (humans as controlling the environment through tools), *Environment, health and social education*. The subject specific goals and subject content are taught in eight subject groups.

**PYP – Primary Years Program:** Students engage with six transdisciplinary themes that have global significance. Behaviors and attributes are developed as part of a learner profile. Concept development that structures inquiry thinking is embedded in the curriculum. Transdisciplinary skills enable the student to connect life at school, home and in the world.

**Limitations**

This research study incorporated a mixed methodology but to a high degree relied on a case study of a single principal and a single school community and a PYP school. Therefore, the findings cannot necessarily be generalized to other settings. Furthermore, the community’s limited history with IB may also be a limitation and potentially may affect the quality of the responses of the survey respondents.

**Conclusion**

The tenets of the IB program are appealing because the mission of IB provides an education that encompasses the whole child, a departure from the standards-based movement that exclusively focuses on the curriculum content and demonstration of mastery of the standards versus influencing the pedagogy and an embrace of inquiry-
based instruction. Valley Basin School is unique in that the school was specifically
designed to be an IB school. The tenets and framework of the program capture
opportunities for teachers to achieve a high degree of skill and ability while they
transform their teaching under the leadership of the school principal as an instructional
leader. While it is possible for a high caliber of teaching to occur without the
leadership of a principal, this research is designed to provide a roadmap for future
PYP school leaders that establishes a leadership model and specific actions to consider
when implementing a PYP program. The fact that no current research exists on this
topic makes this research significant in what it can provide to PYP school leaders in
describing the phenomenon of implementing a PYP program.
Chapter 2

LITERATURE REVIEW

Schools need special leaders because schools themselves are special places (Sergiovanni, 2000). Leadership in education is a complex dynamic. What elements are necessary for a leader to internalize, understand, and model in order to lead a school, district, and community? What does it take to lead an organization to embrace true learning and continual change for the betterment of the organization? These questions as well as the determined research questions frame the review of literature for this study.

The review of literature in this dissertation was intentionally designed to first look broadly at the topic of educational leadership, to second look at the literature on leadership in a PYP school, and to end with a review of three distinctive frameworks of leadership: distributive (or ‘distributed’ as it is also known), transactional and transformational. These three leadership frameworks were deliberately selected since they reflect a process of leadership verses looking for the traits of leadership. Distributive was selected to review since it was the framework recommended by the International Baccalaureate Organization (IBO). The transactional leadership framework is commonly, not exclusively, used in the standards-based schools of today. The transformational leadership framework describes a wide range of leadership that represents a process that ultimately leads to change or transformation of people. All three bear careful review for the purpose of this study.
Educational Leadership

Volumes have been written about educational leadership. Therefore, it is the intent of this researcher to review the standing base of research on school leadership. This research provides an opportunity to review literature related to the larger field of leadership. The scholarship of James Kouzes and Barry Posner (2007), Bernard Bass (1990, 1999), and John Gardner (2007) will be included to determine if there is a progression of leadership, a core base of characteristics, or a specific leadership framework that if adopted, or adapted, would ensure the successful implementation of a PYP school. Gardner defines leadership as the process of persuasion or example by which an individual (or leadership team) induces a group to pursue objectives held by the leader or shared by the leader and his followers. In contrast, Gardner defines the role of the manager as the individual who holds a directive post in an organization, presiding over the processes by which the organization functions, allocating resources prudently, and making the best possible use of people. One could say that many school principals are very effective managers and succeed in that capacity.

Gardner (2007) goes one step further to lump leaders and managers into one category he calls leader/managers. By distilling leaders and leader/managers into one category, Gardner asserts they distinguish themselves from the general run of managers in at least six respects:

1. They think longer term – beyond the day’s crises, beyond the quarterly report, beyond the horizon.
2. In thinking about the unit they are heading, they grasp its relationship to larger realities – the larger organization, of which they are a part, conditions external to the organization, global trends.

3. They reach and influence constituents beyond their jurisdictions, beyond boundaries. In an organization, leaders extend their reach across bureaucratic boundaries – often a distinct advantage in a world too complex and tumultuous to be handled “through channels.” Leaders’ capacity to rise above jurisdictions may enable them to bind together the fragmented constituencies that must work together to solve a problem.

4. They put heavy emphasis on the intangible of vision, values, and motivation and understand intuitively the non-rational and unconscious elements in leader-constituent interaction.

5. They have the political skill to cope with the conflicting requirements of multiple constituencies.

6. They think in terms of renewal. The routine manager tends to accept organizational structure and process as it exists. The leader or leader/manager seeks the revisions of process and structure required by ever-changing reality.

Gardner’s discussion of the role of a school leader provides a practical perspective by looking first at the role of a leader, the role of a manager and a ‘middle ground’ with the notion of a leader/manager.

Jerome Murphy (2007) takes a different approach as he considers organizational leadership. He writes of the heroic and unheroic side of leadership. He
describes the heroic boss as one who meets at least six expectations: first, leaders are supposed to possess a personal vision. A sense of purpose is central to success, and center-stage leaders define it for their organizations. Second, leaders are extremely knowledgeable; they have the right answers to the most pressing problems. Third, leaders are expected to be strong: to display initiative, courage, and tenacity. Fourth, leaders communicate forcefully, using their knowledge to convey their vision aggressively and persuasively. Fifth, leaders amass power and use it for organization improvement. Finally, leaders are take-charge individuals who solve knotty problems along the way as they move toward achieving their personal visions. That portrays the complex and heroic side of leadership (Murphy). One could conclude that the elements Murphy proposes make up a heroic leader are correct, just not commonly found.

In contrast (and balance) Murphy (2007) writes about the unheroic side of the six dimensions of leadership –

1. developing a shared vision (as well as defining a personal vision),
2. asking questions (as well as having the answers),
3. coping with weakness (as well as displaying strength),
4. listening and acknowledging (as well as talking and persuading),
5. depending on others (as well as exercising power), and
6. letting go (as well as taking charge).

These are the obligations of organizational leaders that are not necessarily seen by others but must occur for the success of an organization.
A necessary balance must occur in the heroic elements of leadership as well as the unheroic elements of leadership. The heroic elements of school leadership can fall under the framework of charismatic where the unheroic elements are where the true work of school leadership gets done. To develop (a shared vision), to ask questions, to acknowledge weaknesses, to listen, to depend and to let go are difficult for many leaders. Those that have found a balance between being the hero and doing the hard work of the unhero are most likely the most successful school leaders (Murphy, 2007).

Heroic or unheroic leaders must model the behavior they expect in others. Exemplary leaders know that if they want to gain commitment (to the vision) and achieve high standards, they must be models of the behavior they expect in others, leaders model the way (Kouzes & Posner, 2007). Effective leaders must have and demonstrate clarity of their beliefs and guiding principles. Charismatic leaders can talk about this notion but true leaders demonstrate their beliefs and guiding principles in their daily actions, the practice of leadership.

Leadership is not at all about personality; it is about practice (Kouzes & Posner, 2007). In their essay, The Five Practices of Exemplary Leadership, James Kouzes and Barry Posner focus on common patterns of actions, skills and practices within leaders. Using these common patterns, they formed a model of leadership. Leaders, they posit, engage in five practices:

1. Model the way
2. Inspire a shared vision
3. Challenge the process
4. Enable others to act
5. Encourage the heart

Model the Way

To gain the commitment from their followers successful leaders know they must model the way by demonstrating the behaviors they expect in others. To model the behavior leaders wish to have in an organization they must have total clarity on their own guiding principles, in other words, lead from what you believe (Kouzes & Posner, 2007). Through experience in the role of a leader those that stand out as exceptional leaders will find their voice and clearly, passionately and distinctively connect their voice to their values and share that message with their constituents. Modeling the way is about the consistency of words and actions, people first follow the person, then their plan (Kouzes & Posner).

Inspire a Shared Vision

Great things that happen in schools begin with a dream. The dream, or vision, is the force that invents the future (Kouzes & Posner, 2007). Leaders that are driven to improve learning organizations have a desire to make something happen, to change the way things are, to create something that no one else has ever created before (Kouzes & Posner). Leaders then take their dream, their vision and work relentlessly to inspire a shared vision. This is complex work whose foundation is based upon relationships and dialogues initiated by the leader and permeated throughout the organization. People will not follow until they accept a vision as their own (Kouzes & Posner). To enlist constituents in the vision a successful leader will know each members thoughts, hopes,
values, and aspirations. Leaders will take that knowledge; develop unity of purpose by showing how the dream is for the common good (Kouzes & Posner). A leader knows that when a constituent commits to a vision they are also committing to giving their personal best to the organization. Leaders breathe life into the hopes and dreams about potential for the future (Kouzes & Posner).

Challenge the Process

Every successful leader must be willing to accept challenges and lead other to do the same. Leaders are people willing to step out of the ‘normal path, they are pioneers’ (Kouzes & Posner, 2007). In assuming that role leaders are willing to challenge the process, to innovate, accept new ideas, adopt innovation, experiment, risk and accept failure as part of learning. Successful leaders approach change by measuring for their constituents, small, incremental steps. With each step towards meeting the vision, leaders pay careful attention to the capacity of their constituents to make sure they feel safe in times of change (Kouzes & Posner). Warren Bennis (1989) writes,

Leaders learn by leading, and they learn best by leading in the face of obstacles. As weather shapes mountains, problems shape leaders. Difficult bosses, lack of vision and virtue in the executive suite, circumstances beyond their control, and their own mistakes have been the leaders’ best curriculum.

(p. 146)

Leaders must lead the learning by modeling learning and learning from their failures as well as the successes.
Enable Others to Act

The elements successful leaders engage in to enable others are simple and straightforward. They know leadership requires a team effort. Leaders dedicate the necessary time to build trust and foster collaboration. Using these elements enables members of the team to take action towards the vision. Leaders set the stage for others to do significant work by making them feel strong and capable. When leadership is a relationship founded on trust and confidence, people take risks, make changes, keep organizations and movements alive (Kouzes & Posner, 2007).

Encourage the Heart

Successful organizational leaders know that encouragement is an essential element in achieving the vision. Leaders take time to demonstrate their appreciation of the contribution of others in the organization. The appreciation they provide to the team is clearly from the heart. These true leaders build the spirit of the community of the organization by taking the necessary time to acknowledge that change is difficult, it requires risk and dedication to the vision. The appreciation shown by the leader continues to enable all constituents to act.

Leadership Is a Relationship

Leaders know the relationship between those that lead is dependent upon those who choose to follow. Knowing that, success of the organization is truly dependent upon the ability to build and sustain successful professional relationships that allow all constituents to succeed and achieve new heights on a regular basis.
Kouzes and Posner (2007) created a framework of the five essential practices of leaders to ten commitment (behaviors) of leadership they believe must demonstrated to be effective change agents.

Table 2

*The Five Practices and Ten Commitments of Leadership*

<table>
<thead>
<tr>
<th>PRACTICE</th>
<th>COMMITMENT</th>
</tr>
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<tbody>
<tr>
<td><strong>Model the Way</strong></td>
<td>1. Find your voice by clarifying your personal values.</td>
</tr>
<tr>
<td></td>
<td>2. Set the example by aligning actions with shared values.</td>
</tr>
<tr>
<td><strong>Inspire a Shared Vision</strong></td>
<td>3. Envision the future by imagining exciting and enabling possibilities.</td>
</tr>
<tr>
<td></td>
<td>4. Enlist others in a common vision by appealing to shared aspirations.</td>
</tr>
<tr>
<td><strong>Challenge the Process</strong></td>
<td>5. Search for opportunities by seeking innovative ways to change, grow, and improve.</td>
</tr>
<tr>
<td></td>
<td>6. Experiment and take risks by constantly generating small wins and learning from mistakes.</td>
</tr>
<tr>
<td><strong>Enable Other to Act</strong></td>
<td>7. Foster collaboration by promoting cooperative goals and building trust.</td>
</tr>
<tr>
<td></td>
<td>8. Strengthen others by sharing power and discretion.</td>
</tr>
<tr>
<td><strong>Encourage the Heart</strong></td>
<td>9. Recognize contributions by showing appreciation for individual excellence.</td>
</tr>
<tr>
<td></td>
<td>10. Celebrate the values and victories by creating a spirit of community.</td>
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Kouzes and Posner (2007, p. 71)

Leaders cannot ignore these aspects of leadership/management. They occur every day as a school leader.
Leadership in a PYP School

The role of the school leader is vital for the successful implementation of the PYP curriculum framework. The International Baccalaureate Organization has recently launched an ‘employee profile’. This profile is a set of common competencies that are desired by all IB staff members. The 10 competencies align with the Learner Profile and the mission of the organization. They form an alignment of a desired behaviors and it would be anticipated that the leader of the school would first and foremost embrace and exemplify these competencies. They are: (a) Impact and influence, (b) Passion for the IB mission, (c) International-mindedness, (d) Stakeholder focus, (e) Managing and developing self and others, (f) Teamwork and cooperation, (g) Driving to improve, (h) Decision making, (i) Organizational development, (j) Delivering results. These 10 competencies were not elaborated upon and no further description provided for application in a school setting.

There are limitations in the research that address leadership in an IB school. The International Baccalaureate Organization (IBO) has concise publications that address the topic in general terms and focus the topic of leadership to define the role of school leader as that of the ‘pedagogical leader’. What is written on the topic of school leadership as framed by IBO will be addressed in this section.

Leadership that is effective in a PYP school will understand that the implementation of PYP is a process and will work to change, and improve the teaching and learning in the school. It is the expectation of IBO that the leader of the school will work to successfully implement the mission of the organization, sustain the
implementation of the program, and support the ongoing development of the program. Therefore, the school leader must be, first and foremost, the pedagogical leader of the school.

The IBO has determined core beliefs and values that will ensure the continuing success of the program. They write that the leaders will demonstrate evidence of; (1) a common understanding of the principles and practices of the program on the part of all stakeholders, and a personal commitment on everyone’s part to support them fully, (2) a commitment to the development of the IB learner profile on behalf of each and every one of the learners – students, teachers, and school leaders, (3) effective leadership that sustains the implementation and ongoing development of the program in the long term, often through periods of substantial staff turnover. (Making the PYP Happen – Pedagogical Leadership in a PYP School, 2007, p. 2)

In IB schools, the primary task of the school leader is accomplishing the mission of IB. Therefore, effective school leaders must see themselves, first and foremost, as the pedagogical leader (Making the PYP Happen, 2007, p. 2). One of the essential goals with leadership of a PYP school is sustainable leadership. The International Baccalaureate Organization makes the case for a model of team leadership,

it may be the case that the vision and drive of one individual, the charismatic leader, may bring about more immediate innovation, having a marked impact on the functioning of the entire school community. However, models of team
leadership have overriding benefits in comparison with the charismatic leadership model, particularly for schools that have a transient population of both teachers and school leaders. (Making the PYP Happen, 2007, p. 2)

IBO advocates for the distribution of pedagogical leadership responsibilities to be shared equitably among the members of a pedagogical leadership team. The rationale they present for the distribution of leadership is the frequency that principals move from school to school. “Sustainable pedagogical leadership is the goal and is more likely achieved when leadership is devolved thought a leadership team” (Making the PYP Happen, 2007, p. 3). This model of pedagogical leadership needs to be communicated throughout the school community. This team, as determined by each PYP school, needs to establish their objectives, define individual responsibilities and articulate the agreements within the team. Within this understanding is the implication that lines of accountability and management will exist within the team. Communication therefore becomes a high priority in terms of the norms of the school. Communication needs to be fully functioning, frequent, open, respectful and focused on teaching and learning (Making the PYP Happen, 2007, p. 5).

Importantly, “the pedagogical leadership team is pivotal in shaping and strengthening the school community, especially in a time of significant change. (Making PYP Happen, 2007 p. 5)

Finally, and because of the strong endorsement of a distributive model, IBO allows schools to decide upon a model of shared pedagogical leadership with one
compulsory component, a program coordinator. In *Making PYP Happen – Pedagogical Leadership in a PYP School* (2007, p. 7) IBO states that,

all PYP schools must appoint a coordinator. Normally, the coordinator is recruited from the teaching staff. This person should have proven teaching ability and be able to act as a pedagogical leader of the program of the school. This person is responsible for the development of the program and the implementation of the program throughout the school. Collaboration is exemplified through the work of the coordinator and the coordinator ensures school-wide planning and professional development occurs in a timely fashion and meets the needs of the teaching staff. The principal of the primary section and the PYP coordinator will always be the common denominator across schools. (Making PYP Happen, 2007 p. 6)

What is written by IBO defines the type of leadership recommended in a PYP school; it exemplifies the constructivist philosophy that is the pedagogical foundation. Therefore, while recommendations are written, and the compulsory condition of a program coordinator is stated, the leader of the school must find their own meaning and understanding of what it is to be a principal of a PYP school. That is, after all, true constructivism.

*Distributive Leadership*

To adequately review this framework of leadership, the common definitions of distributed leadership will first be reviewed. It is important to note that ‘distributive’ and ‘distributed’ are analogous terms and will be used interchangeably depending
upon the verbiage used by a particular author. The second portion of the discussion of distributed leadership will be framed by the full report on distributed leadership compiled by the National College for School Leadership (Bennett, Wise, Woods, & Harvey, 2003). This comprehensive document reviewed all the literature on the topic through 2002. Finally, research on the topic of ‘team leadership’ will provide a final consideration on the dynamic of this theoretical framework of school leadership.

In a most simplistic sense, distributive leadership is a method of community centered leadership. (Zepke, 2007). He also describes distributive leadership as a “complex, multifaceted concept” (p. 302). This conceptual framework of leadership contends that school leadership is best understood as a distributed practice, stretched over the school’s social and situational contexts (Spillane et al., 2001). Distributed leadership is based upon the premise that the social context of schools is an integral part of school. Hence, there is an interdependence of the individuals and environment. Spillane et al. (2001) further define this framework as, “The interdependence of the individual and the environment shows how human activity as distributed in the interactive web of actors, artifacts, and the situation” and bears studying of the practice” (p. 23). James Spillane, Richard Halverson, and John Diamond (2001) view leadership in schools is one in which leadership is distributed among both positional and informal leaders is schools, “rather than seeing leadership practice as solely a function of an individual’s ability, skills, charisma, and cognition, we argue that it is best understood as a practice distributed among colleagues” (p. 27).
The 1950s was the era in which this concept of leadership first appeared in the social psychology literature. In the late 1990s, it gained more notice and this time period coincided with the development of the PYP program. In the late 1990s, the notion of distributive leadership rose to higher interest due to the immense burdens placed upon school principals and the “promise to lighten the workload of principals, who were often burdened by the demands of school improvement” (Zepke, 2007, p. 302). Supovitz (2000) contends that the increasing complexity of the principal’s job makes distributive leadership a survival tactic as well as a good organizational strategy. According to the Principal’s Center at Harvard University, a principal is expected to be a servant-leader, an organizational and social architect, an educator, a moral agent, a child advocate and social worker, a community activist and a crisis negotiator all while raising students’ standardized test performance (Supovitz, 2000).

Distributive leadership does have key identifying features: it is more than a delegation of tasks and responsibilities. Distributive leadership draws from distributed cognition and activity theories (Zepke, 2007). A distributed perspective “presses school leaders to consider organizational structure as more than a vessel for leadership activity and more than accessories that leaders use to execute a particular tasks using some predetermined strategy or practice” (p. 26).

Distributive leadership can be complicated. The Consortium for Policy Research in Education at the University of Pennsylvania has researched this model of leadership and reports that in practice it is rarely made explicit, commonly there is role confusion and tension. In schools where teachers were put in charge of teacher teams,
team leaders often expressed aggravation with the problems caused by the lack of clarity about the kinds of responsibilities associated with their leadership roles (Supovitz, 2000). Sergiovanni (2000, p. xvi) contends that, “schools need special leadership because school professionals don’t react warmly to the kind of hierarchically based command leadership or hero leadership that characterizes so many other kinds of organizations.”

Distributive leadership promises to increase the likelihood that reforms will succeed. This model in schools establishes that the principal moves from a guardian of the school to a shepherd who orchestrates leadership opportunities among staff members. Using this model, some decisions are made by groups versus the principal alone. Importantly, this model allows the principal and staff to focus on instruction (Supovitz, 2000).

The International Baccalaureate Organization supports a model of distributive leadership for the schools that implement their programs. The rationale for considering a distributive leadership model is the frequency that school principals and/or teachers move from school to school. Due to the basic premise that PYP schools are in fact communities of learners, it fits with the tenets and mission of the program to build in-house expertise or capacity. School leaders are recommended to find ways to motivate challenge and empower teachers to accept leadership roles within the school (Making PYP Happen, 2007).

The National College for School Leadership (NCSL) provides three distinct elements of the concept of distributed leadership. The first element highlighted is that
this leadership model is “an emergent property of a group or network of interacting individuals” (Bennett et al., 2003, p. 7) that can be considered as concerted action. NCSL acknowledged the contribution of the conceptual discussion provided by Peter Gronn who is largely responsible for this theory of concerted action. In the report from the National College for School Leadership, concerted action is explained as “the product of conjoint activity” (Bennett et al., p. 7). The product comes from the work people do together that the pooling of their expertise and resources provide a product that is a greater sum of the individual parts.

The second dynamic of distributed leadership reported was that this model proposes openness to the boundaries of leadership (Bennett et al., 2003, p. 7). While the proposition of openness to the boundaries of a school leader can be thoughtfully considered, the models by Gronn and other authors previously mentioned (Spillane, 2001; Supovitz, 2000; Zepke, 2007) does not suggest how wide the boundaries should be set and if there even are boundaries. Since school structures have remained steeped in traditional models of school leadership the notion of how and when to establish boundaries in this model lacks clarity and definition.

A third feature of this model, as reviewed in this report, is the assumption that an organization would have a variety of expertise to draw upon for school leadership. Related to openness of the boundaries of leadership is the idea that numerous, distinct, germane perspectives and capabilities can be found in individuals spread through the group or organization. If these are brought together it is
possible to forge a concerted dynamic which represents more than the sum of the individual contributors. (Bennett et al., 2003, p. 7)

One could draw a conclusion that this framework of leadership in practice could be very fluid and one in which the function of teams is critical. In the report, it is stated, “fluid leadership will only be possible within a climate of trust and mutual support which becomes an integral part of the internal organizational social and cultural context” (p. 10).

The definitions and interpretations of distributive leadership vary and that, in and of itself, can be significant. It suggests there is a need for future work and research as to how practitioners might move from theory to practice if there is such a variance of definitions in the concept alone. The work of the National College of School Leadership (Bennett et al., 2003) provide a compilation of the research but the authors of this extensive review of literature on distributed leadership ultimately concluded that further development and clarification are needed if this model could or should be considered for school and school leaders to adopt.

Conclusions from the National College for School Leadership report reviewed the strength of the research evidence on distributive leadership. They noted that few empirical studies examined in their review utilized “traditionally robust social scientific data” (Bennett et al., 2003, p. 52). Some of the studies relied upon survey data. Other relied upon qualitative studies that were often small in scale. One of the conclusions regarding the research studies conducted on distributive leadership was that the data on this framework was “suggestive rather than conclusive” (p. 52). They
conclude that there is a need to “strengthen our understanding of the forms of leadership activity that might be regarded as distributed” and noted that the authors reviewed in the study “would acknowledge their writings are suggestive of further development rather then conclusive” (p. 52).

**Transactional and Transformational Leadership**

Two specific frameworks for school leadership are linked to specific times and places in recent history: *transactional leadership* and *transformational leadership*. It is critical to the understanding of these frameworks that they are contextualized in the time and place in which they were, and are, the ‘framework du jour’.

*Transactional Leadership*

The framework of transactional leadership leans heavily on the premise that extrinsic forms of motivation combined with the understanding that there is an exchange of the extrinsic rewards within an organization such as salary, social status, or ‘perks’ for employees create the basis for transaction. Thus, transactional leadership refers to the exchange relationship between the leader and the follower to meet their individual self-interests (Bass, 1999). It may take the form of contingent reward in which the leader clarifies for the follower, through direction or participation, what the follower needs to do to be rewarded for the effort. It may take the form of active management-by-exception, in which the leader monitors the follower’s performance and take corrective action if the follower fails to meet the standards. Alternatively, it may take the form of passive leadership, in which the leader practices passive
managing-by-exception by waiting for problems to arise before taking corrective action or is \textit{laissez-faire} and avoids taking any action (Bass, 1999).

The dynamics of transactional leadership are reviewed by Friedman (2004) as she refers to Bass’s (1999) definitions, “Clarification, completion, and compliance are factors that underlie transactional leadership” (p. 207). One can consider much of transactional leadership as mandates. Friedman further cites Bass with this position as he states, “Managers engage in a transaction with their employees: They explain what is required of them and what compensation they will receive if they fulfill these requirements” (p. 207). Therefore, the focus is upon management not leadership.

A confluence of events in the United States influenced the dominance of this leadership model that is still heavily used today in public schools. The 1980s brought significant shifts in our country. Recession affected the private sector of business first, and then essential information about the condition of student achievement came forward to the public in the seminal document \textit{A Nation at Risk} (USDOE, 1983). This landmark document described to the public the dire reality about the product of the public schools. The loss of confidence in the systems in our country continued as the recession expanded and affected the public sector. The combination of losses and wake-up calls resulted in a public cry for school improvement. These events created the beginning of school accountability and the use of transactional leadership within the school community.

The roots of transactional leadership began with the effective schools movement in the late 1970s and early 1980s (Leithwood, 2007). Transactional
leadership was widely promoted as the most promising leadership response to higher student achievement. The public has come to expect this leadership model (Leithwood) and policies created by legislators supported the accountability model of school leadership. The accountability movements and associated policies assume that motivation with the teachers to be the key to change; it believes that extrinsic incentives and rewards are the strongest motivators and uses control strategies to ensure desired employee performance (Leithwood).

Schools were asked to do more to improve the product they were producing and soon legislation and policy supported public sentiment that the existing conditions of schools in America needed reform. The accountability movement and its related policies rested fundamentally on a mechanistic worldview that assumed motivation to be the key to change; it believed extrinsic incentives and rewards were the strongest motivators and uses of control strategies, such as detailed job descriptions and direct supervision of employees, to ensure desired employee performance (Leithwood, 2007).

Schools further promoted the use of transactional leadership in various forms. Although not exclusively, the charter school movement depends heavily upon this model of leadership since the internal structure is one where tenure does not exist and teachers, as ‘at will employees, can be rewarded for student achievement growth. Federal funding supported the Comprehensive School Reform models and curricular models such as Slavin’s ‘Success for All’ seemed promising but in the end, only a few students and teachers benefited from these efforts. Restructuring schools and structural
solutions such as school site councils, intended to increase schools’ sensitivities to client needs show they were largely impotent means of improving student learning (Leithwood, 2007).

There is an exchange relationship that is a foundational element of transactional leadership known as the Leader-Member Exchange Theory (LMX). LMX focuses on the dyadic relationship between the leader and the followers and their communication, as the cornerstone of this leadership model. Effective leadership occurs when the communication of leaders and subordinates is characterized by mutual trust, respect, and commitment (Northouse, 2007). LMX puts transactional leadership under a microscope to determine what happens during exchanges between the leader and the subordinate. Research conducted by Graen and Uhl-Bein (1995) focused on the quality of leader-member exchanges and was related to positive outcomes for leaders, followers, ground and the organization in general (Northhouse). Northouse (2007) cites the research findings of Graen and Uhl-Bein (1995) and Liden, Wayne, and Stilwell (1993) in their findings that “high-quality leader-member exchanges produced less employee turnover, more positive performance evaluations, higher frequency of promotions, greater organizational commitment, more desirable work assignment, better job attitudes and more attention and support from the leader, greater participation and faster career progress” (p. 155). When leaders create the conditions of good working relationships and when leaders and followers have good exchanges each feels better, accomplishes more and the organization has the conditions to prosper.
LMX theory works by focusing our attention on the special, unique relationship that leaders create with others (Northhouse, 2007). Graen and Uhl-Bien (1995) suggest that “this relationship progresses in three phases over time: (1) the stranger phase, (2) the acquaintance phase, and (3) the mature partnership phase” (p. 230). It is during phase two that the leader and the follower begin to develop trust and respect for each other (Northouse). During phase three, high-quality leader-follower exchanges take place and a high degree of mutual trust, respect, and obligation toward each other develops (Northouse). Phase three is defined by the extremely effective way of relating that occurs between leaders and followers that produces positive outcomes for them and the organization. In effect, partnerships are transformational in that they assist leaders and followers in moving beyond their own self-interests to accomplish the greater good of the team and organization, and the goals of the leader, the followers and the organization are all advanced (Northhouse).

*Transformational Leadership*

Leadership involves the identification, acquisition, allocation, coordination, and use of the social, material, and cultural resources necessary to establish the conditions for the possibility of teaching and learning (Spillane et al., 2001). Transformational leadership holds an important and distinctively different definition. Transformational leadership is a process that changes and transforms people. It is concerned with emotions, values, ethics, standards, and long-term goals and includes assessing followers’ motives, satisfying their needs, and treating them as full human beings. Transformational leadership involves an exceptional form of influence that
moves followers to accomplish more than what is usually expected of them. It is a process that often incorporates charismatic and visionary leadership (Northouse, 2007).

Transformational leadership is a derivative of transactional leadership. The roots of both leadership frameworks come from the pivotal work of the political sociologist James Burns and his writing entitled Leadership (1978). Burns distinguished the two types of leadership and framed the models. Friedman (2004, p. 205) informs us that the concept of transformational leadership has itself experienced numerous transformations since its inception by Burns in 1978. To this day, the topic of transformational leadership is a cornerstone of writings on organizational change. Transformation leadership fits the needs of today’s work groups, who want to be inspired and empowered to succeed in time of uncertainty (Northouse, 2007). To substantiate this claim a review of the articles in Leadership Quarterly conducted in 2001 found that one third of the research was about transformational or charismatic leadership.

Transformational leadership refers to the leader moving the follower beyond immediate self-interests through idealized and moral influences (charisma), inspiration, intellectual stimulation, or individualized consideration (Bass, 1999). Bass further defines the foundation of this framework as an ethical leadership that rests upon three pillars: (1) the moral character of the leader; (2) the ethical legitimacy of the values embedded in the leader’s vision, articulation and program which followers
either embrace or reject; and 3) the morality of the processes of social ethical choice and action that leaders and followers engage in and collectively pursue (Bass, 1999).

Before understanding more about transformational leadership this is an opportune time (since a basic foundation of the framework of transformation leadership has been laid) to engage in a discussion of the similarities between transactional and transformational leadership. According to Bass (1999), most leaders have a profile of the full range of leadership that includes both transformational and transactional factors. However, Bass posits that those whom we call transformational exhibit much more of the transformational than the transactional. In their defining moments, they are transformational. Although those whom we label as transactional leaders display much more transactional leadership behavior, they are more likely to have attitudes, beliefs, and values more consistent with transactional leadership, but they still may be likely to be transformational at times.

Transformational leadership asks school leaders to adopt a much broader, systemic, view of their work (Leithwood, 2007). It is essential in transformational leadership to create a shared vision, one in which all constituents can share “pictures of the future” that foster genuine commitment and enrollment rather than compliance. All transformational approaches to leadership emphasize emotions and values and share in common the fundamental aim of fostering capacity development and higher levels of personal commitment to organizational goals (Leithwood). Northouse (2007) cites Bass in addressing the dynamics of the transformational leader; he argues that transformational leadership motivates followers to do more than the expected by (a)
raising followers’ level of consciousness about the importance and value of specified and idealized goals, (b) getting followers to transcend their own self-interest for the sake of the team or organization, and (c) moving followers to address higher-level needs (p. 180).

Bass (1999) provides four categories for the practice of transformational leadership:

*Charisma*: practices that arouse strong emotions and identification with the leader’s personal qualities and sense of mission.

*Inspirational leadership*: communicating an appealing vision and modeling exemplary practices consistent with that vision

*Individualized consideration*: providing support and encouragement to employees for their efforts, and opportunities to develop further

*Intellectual stimulation*: practices that increase followers’ awareness of problems and encourage them to think about their work in new ways.

To provide a comprehensive understanding of this framework more elaboration is needed on these four factors of transformational leadership. Charisma or idealized influence describes leaders who act as strong role models for followers. Followers in turn identify with these leaders and want very much to emulate them (Northouse, 2007). These leaders have very high standards and ethical conduct. They can be counted on to do the right thing. They are deeply respected by followers, who usually place a great deal of trust in them. Importantly, they provide followers with a vision and a sense of mission (Northouse). Inspirational motivation is a factor of leaders who
communicate high expectations to followers, inspiring them through motivation to become committed to and a part of the shared vision in the organization. Team spirit is enhanced by this type of leadership (Northouse). Intellectual stimulation includes leadership that stimulates followers to be creative and innovative, to try new approaches and develop innovative ways of dealing with organizational issues (Northouse). The final factor, individualized consideration, represents a leader who provides a supportive climate in which they listen carefully to the individual needs of followers. The leaders act as coaches and advisers while trying to assist followers to become fully actualized (Northhouse).

Williams (1994, as cited by Bass, 1999) contends transformational leaders tend to display more frequent behaviors in terms of citizenship such as altruism, conscientiousness, sportsmanship, courtesy, and civic virtue. Bass also shares with us that transformational leaders can be directive or participative, authoritarian or democratic and at times can be both transactional and transformational. While this information provides a mental model of transformational leadership it also indicates the complexity of the framework of leadership.

The determination for this model of school leadership clearly lies on the organizational culture and the top management (Bass, 1999). For transformational leadership to permeate an organization the actions of the top management set the course for the leadership styles of the subordinate leaders. A study conducted by Friedman (2004) concluded that through transformational leadership “the practice of sharing and implementing promising practices became a transformational vehicle for
not only changing teaching and learning but also for enhancing interdependence and expanding leadership capacity” (p. 221). Bass (1999) recommends that we still need to learn a lot more about how perceptions differ between transactional and transformational leadership and how organizations can benefit from these leadership styles. Countless schools do succeed using transactional and transformation leadership. Research needs to continue to monitor the success of the implementation of these frameworks to determine, which, if any, provide the best leadership framework for longitudinal results.

The International Baccalaureate Program Structure as a Framework for Learning

Theoretical Framework

The International Baccalaureate Organization does not provide a specific theoretical framework for examination of their programs. It is the conclusion of this researcher that the IB programs are hybrids of the Critical Theory framework and its subset theory of Social Inquiry.

Critical Theory was generated by a group of German philosophers and social theorists known as the Frankfurt School. From its inception in 1930, the group of philosophers sought to distinguish their aims, methods, theories, and forms of explanation from standard understandings in both the natural and the social sciences. Critical Theorists claim that social inquiry ought to combine rather than separate the poles of philosophy and the social sciences (Critical Theory, 2005). In their view,
critical social inquiry becomes the mode of inquiry that participants may adopt in their social relations to others (Critical Theory).

The Stanford Encyclopedia of Philosophy (Critical Theory, 2005) provides extensive information about Critical Theory from which elements suggest a connection to the IB program. The encyclopedia informs one that Critical Theory focuses on the social relationships between inquirers and other actors in the social science. Such relationships can be specified epistemically in terms of the perspective taken by the inquirer on the actors who figure in their explanations or interpretations. Learning to see things from another perspective, from others’ points of view can at best provide the best interpretations for us of how things are for them.

Social inquiry relies on interpreting not just describing something. Included in this theory are “performative attitudes” where reconstruction of practical knowledge is effectively communicated and is a basis for social relationships. Social inquiry includes reflection and a framework for cooperation. While one could go into much great depth with the philosophy of Critical Theory and Social Inquiry, the connection between these theoretical frameworks and the curricular framework of PYP are exemplified in the mission statement of IB as well as the skills and attitudes that are tenets of the program.

*Research on IB*

IBO has limited published research available and there are few completed dissertations that research aspects of the programs. IBO has a research portal on its website that explains categories for inclusion and exclusion of research on the
programs of IB. IBO will include research in the database if the publication includes “international education”, “international schools” or “Third Culture Kids” in the title. The database includes all articles from the *International School Journal* (ISJ), all or most articles from the *Journal of Research in International Education* (JRIE), *Journal of Studies in International Education, Globalisation, Societies and Education, Intercultural Education* and other relevant journals. They exclude publications that are concerned with education, whether theory or practice, if they do not refer to international education. And, importantly, they exclude publications with a narrow scope (International Education Research and Database. Inclusion and Exclusion Categories, 2010). Using their ‘advanced search’ option this researcher attempted to locate any current research using the words *Primary Years Program* and/or *leadership* to determine if any article or author would enhance the review of literature. There were no results in the database of the search criteria.

However, one publication titled *Research on the IB* (2007) provides some evidence of completed studies of the programs. In this publication, the research conducted on the effectiveness of the three IB programs reveals five common conclusions:

1. IB students outperform their peers on state assessments.
2. IB Diploma students have higher acceptance rates to colleges.
3. IB Diploma student perform better in post-secondary education than their peers.
4. IB standards are aligned with best practices in education and support effective teaching practices.

5. IB has a positive impact on the culture of a school (Research on the IB 2007) cites the Academy School District in Colorado Springs, Colorado, who authorized a study of the IB schools within their school district, to compare the achievement data of the students in grades 3 and 10 in the IB program to the achievement of those students in traditional classrooms. The results of the study found a greater number of IB students scored at the proficient and advanced levels with the difference between IB students and their peers increasing at the higher grades (Research on the IB (2007). Data was presented in this publication that compared the performance of sixth graders in the IB program to that of their peers in the non-IB program. Ninety-seven percent of the sixth graders enrolled in the IB program performed proficient or advanced in reading as compared to 70% of the non-IB sixth graders and 91% (of the IB students) scored at proficient or advanced in math compared to 49% of the non-IB students (Research on the IB (2007).

The preponderance of research cited in the Research on the IB (2007) document focused on the IB Diploma program, acceptance rates to post-secondary institutions and performance in those institutions. Posited in this publication is a non-cited dissertation from Oxford University that states that, IB has a positive impact on the culture of a school and as a result of the IB programs schools were able to: raise academic standards and change
perceptions towards academic achievement, increase diversity within the
school, bring an international perspective to the classroom and raise awareness
around intercultural understanding, and improve the reputation of the school in
the community. (p. 15)

Conclusion

What makes school leaders successful as leaders? How do they create their
sense of purpose, infuse their personal vision for student learning and create a vision
shared by the school community? The research tells us these three elements are
essential components of leadership of successful school leaders.

Context plays a key role in determining whether a model of schooling, when
applied, lends itself to a specific framework of leadership. What a leader does to be
effective in one kind of enterprise may not lead to effectiveness in another kind of
enterprise (Sergiovanni, 2000). Taking this one step further, it can be stated that in
many schools the adoption of an IB program is a mode for school reform, or a model
school reform to be an empowering agent of change, leadership must be
transformational and inclusive, integrating those characteristics that make schools
effective into its vision and ultimately changing the culture of the institution” (p. 208).

The three leadership frameworks reviewed for this dissertation have promise
and limitations. Clearly, over the course of the standards-based movement in
education we have seen transactional leadership applied abundantly. What lessons
have we learned from it? Is it because of the power of this educational movement that
we see fewer examples of distributive leadership since school reform is limited? How do people become transformational leaders and how do schools benefit from having a transformational leader? Importantly, there are compelling reasons for the use and full implementation of distributive leadership in a PYP school. The research conducted in this study will attempt to determine which, if any, of these leadership styles is exemplified by the principal, and why.
Chapter 3

RESEARCH METHODOLOGY

Introduction

Merriam’s book, *Qualitative Research and Case Study Applications in Education* (1998), defines a case study as “the empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between the phenomenon and the context are not clearly evident” (p. 27). Merriam describes the case study as a ‘thing’ that could be a student, a teacher, a principal, a program, a group, a school, a community or a specific policy (p. 27). By concentrating (the research) on a single phenomenon or entity (the case), the researcher aims to uncover the interaction of significant factors characteristic of the phenomenon (p. 29).

Case studies can further be defined in three categories based upon specific features:

- *Particularistic* – case studies focused on a particular situation, event, program or phenomenon
- *Descriptive* – the end product is important since it is ‘thick’ description of the phenomenon under study
- *Heuristic* – case studies that illuminate the reader’s understanding of the phenomenon under study.

The case study model potentially can bring about the discovery of new meaning, extend the reader’s experience, or confirm what is known. Since case studies focus on a system that has particular boundaries, and the study generally is conducted
under natural conditions of the subject, so that the system itself can be understood, there is a natural link between the questions of the research and the selection of this research methodology.

Research Design

After a review of the dominant qualitative research paradigms, it was determined that the Constructivist Interpretive-Qualitative paradigm provided the best match with both the research questions and desired outcome (specific recommendations for leaders of IB schools). The Constructivist Interpretive-Qualitative framework assumes the focus of the research will be on exploring the dynamics of a system and, within the system, the interactions that allow for multiple perspectives. Importantly, this construct for research emphasizes that the perceptions and values of all participants in a situation are needed and have value to allow the researcher to explore the various possible interpretations of perceptions and information from all possible angles. Using the Constructivist Interpretive-Qualitative framework the research was designed to include purposeful sampling of the school population to include the Superintendent, Director/Principal, teachers, parents, and students. Therefore, using mixed-method elements in the research was determined as the best methodology for acquiring information from the school population with interview data given more weight in the final analysis of the data because it presents to the researcher what is most common and pervasive in the system under review.

The four research questions were intended to solicit emerging themes of the leadership required to implement an IB school. It was anticipated that the themes
would distill to a set of transferable recommendations for other leaders in similar circumstances. The specific questions researched were:

   Research Question #1: What specific actions and leadership qualities does a school leader exhibit to create a school dedicated to the development and implementation of the Primary Years Program?

   Research Question #2: In what, if any, ways does the leadership change through the implementation of the PYP?

   Research Question #3: What factors affect the leadership qualities of the school principal developing the PYP?

   Research Question #4: What, if any, leadership style prevails in an emerging PYP school?

The study utilized six methods for gathering data:

1. Structured one-on-one interviews with the school Principal/Director, the district Superintendent, and a teacher who was part of the school from its inception

2. Survey of teachers

3. Survey of the parents whose children were in the third or fourth grade during the 2008 – 2009 school year and are currently in the fourth or fifth grade

4. Survey of the third and fourth (current fifth and sixth) grade students from the 2008 – 2009 school year


6. Multiple observations of the school.
Setting

Valley Basin School is a dependent charter school located in a semi-rural area of south Placer County, California. The charter was developed by the district for two distinct reasons: (a) revenue, and (b) reform. The Superintendent determined there was an opportunity to increase the district student population by attracting students and families from neighboring districts by offering a program (IB) that was unique to the area. After research, it was determined that the International Baccalaureate program would bring students and families into the school district to prevent further decline in the enrollment and create a revenue stream for the district.

The school was constructed on property of an existing school in the school district over the summer of 2008. During the planning process, the existing school and proposed school established joint use agreements for specific school facilities. In August of 2008, the doors opened to the school, which encompassed grades K-4. Currently the school encompasses grades K-5. The charter stipulates an addition of one grade level per year until the school becomes a K-8 grade school. All students attending the school beginning in August of 2008 were new students to the school and to the school program.

Population of the School and the Study Sample

The study was conducted at the Valley Basin School (VBS) in Placer County, California. The school opened in August 2008 with approximately 139 students in grades K-4. Two thirds of the students enrolled in VBS came from schools outside of the local school district extending beyond Placer County to Sacramento and El Dorado.
counties. One-third of the students came from schools within the school district, which houses the charter school. The ratio of students from the greater Sacramento area to the students from the Loomis area was the target student population based on the initial design of the school. Currently the school has 260 students.

The students in the school come from middle class and upper middle class families. All families underwent an initial interview in 2008 with the Director of the school prior to finalization of the registration process to ensure the student was a match for the school and the parents were clear on the type of education the students enrolled would be receiving.

English is the dominant home language of the students and families. School data reveals that one family reported their home language as Spanish, two families reported Hindi, and two families reported French and one family notated ‘other’ on the Home Language Survey.

Table 3

Ethnicity of the Current Student Population 2009-2010

<table>
<thead>
<tr>
<th>Percent of School Population</th>
<th>Ethnicity</th>
</tr>
</thead>
<tbody>
<tr>
<td>.8%</td>
<td>Other/Pacific Islander</td>
</tr>
<tr>
<td>3.1%</td>
<td>Hispanic or Latino</td>
</tr>
<tr>
<td>6.9%</td>
<td>Asian (which includes Chinese, Japanese, Korean and Vietnamese)</td>
</tr>
<tr>
<td>.8%</td>
<td>Filipino</td>
</tr>
<tr>
<td>.4%</td>
<td>American Indian or Alaskan</td>
</tr>
<tr>
<td>1.5%</td>
<td>Black or African American</td>
</tr>
<tr>
<td>86.5%</td>
<td>Caucasian/White</td>
</tr>
</tbody>
</table>
The Director has been an administrator for approximately eight years, having one prior school principal assignment. The title of ‘Director’ was selected in lieu of the title of ‘Principal’ but both terms are commonly used with the school population. The duties of the Director are synonymous with that of a traditional principal with one exception; the Director serves as the instructional leader of the school and also serves as the Curriculum Coordinator all curricular planning associated with the PYP. This model is atypical of PYP schools. IBO encourages schools to have a specified Curriculum Coordinator for planning and coordinating the PYP, but given the size of the school, IBO has approved the current structure.

VBS is staffed by 12 classroom teachers and one part time music teacher. Of the 13 teachers, only one is male. Two of the teachers are in their second year of teaching; all other teachers have experience ranging from 5 years to approximately 20 years. The Director personally hired each teacher on the campus.

All of these stakeholders comprise the population of the study. From this population the study sample was selected. This included the Superintendent, Director/Principal, teachers, parents and students who were associated with the third and fourth grade when the school opened in 2008, and have sustained their association with the school and, are currently involved with the school as teacher(s) in the fourth or fifth grade, students who are in the fourth and fifth grade and parents of these students.

This researcher has known the Director/Principal for eight years. The relationship between the Director/Principal and this researcher has been familiar and
collegial but, with the anticipation of the research and to maintain the necessary distance to ensure the integrity of the research, this researcher intentionally separated from the visiting the school, interacting with any school personnel, viewing school documents, and directly communicating with the Director/Principal of the school regarding the implementation of the PYP to maintain the necessary distance to maintain the integrity of the research.

Instrumentation and Materials

The research questions and literature review framed the development of the interview questions and survey questions, which were crafted by the researcher. The interview questions for the Principal/Director were designed to be in-depth, open-ended interviews treated as conversations. The intent of the questions was to draw out both detailed information and reflections as they related to the beliefs, actions, and considerations of the implementation of the PYP program.

The surveys for the parents and teachers were designed to affirm or deny the actions and considerations of the Principal/Director while implementing the PYP program. The survey for the students was designed to evoke their perceptions of the school leader. The document review was designed to validate and/or inform the researcher of the actions and considerations applied by the Principal/Director implementing the PYP program.

Data Collection

The data in this study was accumulated through interviews, teacher surveys, parent surveys, student surveys, documentation review and observations. Data
collection was begun in December 2009, and was completed in February 2010.

Samples of all research instruments, notifications, and consent forms are located in the Appendix, items A-T. The following processes were applied to obtain interview and survey data:

1. In November, a letter was sent to the Superintendent requesting permission to conduct the study in the school district. The letter explained the purpose of the study, the research procedures, risks, information regarding confidentiality, contact information and an attached consent form. The Superintendent completed the ‘Consent to Participate in Research’ form and returned it within two days to the researcher.

2. In November, a letter was sent to the Director describing the study, presenting the research procedures, the risks, confidentiality and an attached consent form and requesting permission to use the Director as a subject of the research.

3. In November, letters were sent to the teachers describing the study and requesting permission for them to participate in a confidential survey. Information in the letters included the purpose, the research procedures, risks, confidentiality, contact information and an attached consent form.

4. In December, a letter was sent to the teacher who met the criteria for an interview. This teacher taught at VBS since August of 2008 and was the only teacher who directly worked with the students who were eligible for the surveys.
5. Appointments for the interviews were scheduled at a time convenient for the interviewees. Locations for the interviews were agreed upon during the setting of the appointment.

6. In January, letters were sent to the parents (whose children attended the school in 2008 – 2009 and are still attending the school) to inform them of the purpose of the study, the research procedures, risks, confidentiality, contact information, timeline of the survey and a consent to participate form. After reviewing demographics it was determined that no parents needed letters translated into another language.

7. In January, letters were sent to sixty-two parents (whose children attended either the third or fourth grade during the 2008 – 2009 school year, and were still attending the school) to request permission to administer a survey conducted in class. The letter included information about the purpose of the study, research procedures, risks, confidentiality, contact information, timeline of the survey and the consent for their child to participate.

8. Site visits for observations were arranged with the Director/Principal.

9. Documents were obtained with the assistance of the secretary through the school archives.

Data Analysis

Through the variety of data collection processes, a generous amount of data was collected. This researcher gave consideration to the use of triangulation to present the data. While triangulation has its merits in validating data through a cross
verification process that can enhance the confidence level and validity of the research, it can be difficult to perform if the data comes in different forms that may defy comparison. This researcher determined that the data did not lend itself to the utilization of triangulation so instead looked at whether the data corroborated the information provided from each group used in the study. Each type of data (interviews, surveys, documentation and observations) was analyzed with a methodology particular to the type of information garnered.

*Interview Data*

The one-on-one interviews were a foundational element of the research process. Four separate sets of interview questions were customized for the intended interviewees to access their knowledge and perspective of the leadership of VBS and PYP program. One set of questions was created for the teacher, one for the Superintendent, one for the Director/Principal and one for the parents. Each set of questions, though not field tested, was designed to elicit information based upon the role each played in the school. Importantly, it was expected that the interviewees would provide, through the interviews, their own perspective that would constitute for the researcher a comprehensive ‘big picture’ from which conclusions could be drawn with confidence in their validity.

Considerations were made to standardize the interview process. The subjects of the interviews were informed that the interviews would be tape-recorded. This researcher created interview questions that followed a similar pattern; the first three or four questions were framed to be background information of the interviewee so that
the interviewee would begin to become comfortable with the process and, by the 
fourth or fifth question, fully engage with the questions and provide responses that 
were reflective, thoughtful, and demonstrated depth.

A coding system was used to contextualize the data from the interviews. First, 
all tape recordings were transcribed verbatim (by an outside source). This researcher 
then reviewed the transcriptions for an initial read. Then, the transcriptions were 
reviewed for a second read and during that read, this researcher referenced the initial 
interview questions and highlighted the interview questions that had the most 
relevance to specific research questions. Going through the transcripts a third time, 
key themes, phrases, and terms used by the interviewee were highlighted. Using large 
poster papers with the research question prominently placed on each paper, this 
researcher then extracted the highlighted themes, phrases and key terms from the 
interviews and transcribed them to the poster paper using a color coding system based 
upon a color assigned to the interviewee. This process allowed this researcher to 
decipher how the various subjects viewed the actions and qualities of the 
Director/Principal as the new school developed the implementation of the PYP.

*Survey Data*

The survey data was placed upon a hierarchical scale. The teacher survey had a 
high response rate and provided essential quantifiable data as to the implementation of 
the PYP and elements of school leadership. Ten of the 12 teachers, or, 83% of the 
teachers, completed the survey. Therefore, the data from this survey was deemed more
useful by this researcher for validity based upon the ratio of completed surveys to the number of potential survey respondents.

The teacher survey contained nine questions and was scaled with seven response categories. They were: Very Often, Often, Occasionally, Rarely, Never, Do Not Know, and Does Not Apply. This researcher determined that the categories of Very Often and Often constituted a positive response. The other categories were assumed by this researcher to be on a continuum. For example, if a teacher responded to a survey question with a response that was ‘occasionally’ it was interpreted by this researcher as something that the school leader might consider to improve. If a respondent stated ‘rarely’ in the survey, and, if there was a discernable pattern with this response, the school leader could be compelled to give serious consideration to the survey question and responses provided. Further, the Director/Principal could make his or her determination as to their personal perception of the instrument, the validity of the survey, and use the data as they wish. The point being, that from a response of ‘Occasionally’ through ‘Does Not Apply’, the school leader could consider the implications.

The student survey was composed of five survey questions and two open ended questions. The student survey elicited ‘yes’ or ‘no’ responses. With the exception of one question, all responses to the survey were the same. The responses to the open-ended questions provided a depth of perceptual data from the viewpoint of the fourth and fifth graders who had been at the school since its inception. The open-ended responses were coded in a different fashion from the interviews. Each student
survey was given a number. The open-ended responses were coded to the number assigned to the students. This allowed the researcher to determine a correspondence by student to determine if a pattern to the open-ended questions was prevalent.

Finally, the parent survey data had a low response rate. Sixty-two letters and surveys were distributed and six parents returned the surveys. Since the parent survey packet was presented to each family by name, and the response rate was low, it was determined that the data supplied would not be significant to draw legitimate conclusions. It was further determined by this researcher that even if a second attempt were to be made to collect data, that the rate of return for consent to participate would still not provide enough data to be deemed numerically significant to adequately represent the parent population.

**Document Review**

VBS was very forthcoming in offering full access to all school documents. This researcher received copies of all school correspondence supplied to the parents of VBS from 2008 through 2009. The documents were read by the researcher and coded to the number of times the parents were informed about the PYP. The school website provided key website links that, if utilized by the parents, provided in-depth information about IB and the PYP program. For the purpose of this research, the documents created by the Director/Principal were considered primary documents and the school website fits into a unique category of being both a primary document and a secondary document by virtue of the times we live in.
School Observations

The Director/Principal was most generous in inviting this researcher to all observation possibilities. The ‘Mustang Roundup’ or whole school daily gathering of students and teachers was observed three times by this researcher. This event allowed this researcher to observe how the students demonstrated the Learner Profiles. This researcher had the opportunity to observe three Unit of Inquiry planning sessions among the teachers. Classroom visits were included in the observations to view how students performed and interacted in a PYP school.

This study relied on the existence of multiple views and multiple data collection elements. At the conclusion of the collection and analysis of data, this researcher felt she had an intimate and comprehensive understanding of the school, and the roles each group played in the big picture of the school. The data analysis was differentiated based upon the grouping of individuals but ultimately was thorough in setting the stage for a comprehensive set of findings.
Table 4

Relationship of Research Questions to Data Gathering and Analysis

<table>
<thead>
<tr>
<th>Research Questions</th>
<th>Sources of data</th>
<th>Selected data gathering strategies</th>
<th>Selected analytic and interpretative strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) What specific actions and leadership qualities does a school leader exhibit to create a school dedicated to the development of the implementation of the PYP?</td>
<td>Interviews • Director • Superintendent • Teacher • Parents • <strong>Surveys</strong> • Teachers • Students</td>
<td>Structured interviews Surveys conducted on site Document review</td>
<td>Comparative thematic analysis of transcripts Document analysis Survey analysis</td>
</tr>
<tr>
<td>2) In what, if any ways, does the leadership change over the course of the implementation of the PYP?</td>
<td>Interviews • Director • Superintendent • Teacher • <strong>Surveys</strong> • Teachers • Students</td>
<td>As above</td>
<td>Comparative thematic analysis of transcripts</td>
</tr>
<tr>
<td>3) What factors affect the leadership qualities of the school principal developing PYP?</td>
<td>Interviews • Director • Superintendent • Teacher • <strong>Surveys</strong> • Teachers • Students</td>
<td>As above</td>
<td>Comparative thematic analysis of transcripts</td>
</tr>
<tr>
<td>4) What, if any leadership style prevails in an emerging PYP school?</td>
<td>Interviews • Director • Superintendent • Teacher • <strong>Surveys</strong> • Teachers • Students</td>
<td>As above</td>
<td>Comparative thematic analysis of transcripts Analysis and application of theoretical models</td>
</tr>
</tbody>
</table>

Summary

This research study will focus on the exploration of the specific actions and leadership qualities of a school leader. The Constructivist-Interpretive Qualitative framework will be applied to explore the single phenomenon of the leadership at Valley Basin School. The design of the study will allow multiple perceptions and information to come forward for distillation to address the actions and leadership
qualities in creating and fostering the Primary Years Program in a new school dedicated to the implementation of this program.
Chapter 4

RESULTS

This chapter presents the results of a mixed methods case study designed to learn about the purposeful actions and qualities of a school principal whose charge was to create a new school dedicated to implementing the Primary Years Program (PYP) of the International Baccalaureate Program. Key stakeholders from Valley Basin School participated in this study and are represented in either the qualitative portion of the results or the quantitative section of this chapter.

Interpreting the Data

Data was collected from various sources including the Director/Principal, Superintendent, teachers, parents and students. Following the methodology described in Chapter 3 this researcher made a determination as to which data best provided information to fully address each research question. The survey and interview data from the Director/Principal, superintendent, teachers and parents were utilized in the findings. The determination was made to not use the student survey data due to the fact that the data did not provide information that addressed the research questions.

Summary of Findings and Discussion

Summary of Findings

The Summary of Findings is formatted in four tables aligned to each research question. It was determined that the table format would provide useful organization and interpretation of the interview data.
Discussion

A discussion of each research question follows each table, and compares and contrasts key elements revealed in the interview portion of this study. This researcher defined a ‘commonality’ if two or more stakeholders identified the same topical area. A ‘contrast’ was defined as an element identified by only one of the stakeholders. Since this is a discussion of the findings, no value was placed upon common elements or the contrasting elements in this section.

Research question #1: What specific actions and leadership qualities does a school leader exhibit to create a school dedicated to the development and implementation of the PYP?
Table 5

*Interview Responses for Research Question #1*

<table>
<thead>
<tr>
<th>Source of Interview Responses</th>
<th>Director</th>
<th>Superintendent</th>
<th>Teacher</th>
<th>Parent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Question</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>#1 What specific actions and leadership qualities does a school leader exhibit to create a school dedicated to the development and implementation of the PYP?</td>
<td>1) Created a successful school with systems, rules, and structures</td>
<td>1) Curriculum expertise to become the instructional leader</td>
<td>1) Curriculum expertise, involved with the PYP planners</td>
<td>1) Extremely friendly and caring</td>
</tr>
<tr>
<td></td>
<td>2) Designed specific goals and clear expectations for hiring teachers</td>
<td>2) Organizational skills to effectively operationalize a new school and new program</td>
<td>2) Led by example</td>
<td>2) Made herself available</td>
</tr>
<tr>
<td></td>
<td>3) Learned all aspects of the PYP to prepare for full school implementation</td>
<td>3) Leader who displayed open communication, leads by example, fosters leadership among the teachers, empowered the staff and through full participation with the staff, had her pulse on the staff</td>
<td>3) Provided resources for teachers</td>
<td>3) Created parent informational meeting</td>
</tr>
<tr>
<td></td>
<td>4) Worked to formulate a vision for the school</td>
<td>4) High expectations</td>
<td>4) Communicated with parents on a regular basis</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5) Implemented PYP through phases and included key elements in each phase</td>
<td></td>
<td>5) Communication provided a sense of ‘vision’ in multiple ways</td>
<td></td>
</tr>
<tr>
<td></td>
<td>6) Brought PYP to the student level beginning in year 1</td>
<td></td>
<td>6) Comprehensive website and parent handbook with an emphasis on the home-school partnership</td>
<td></td>
</tr>
</tbody>
</table>

A comparative analysis of research question 1 demonstrated six specific commonalities identified by the stakeholders that establish the actions and leadership qualities exhibited at VBS. The interviews revealed the *curriculum expertise* of the Director/Principal was a common leadership quality described by the Director/Principal, the Superintendent, and the teacher. The second commonality
noted by the Director/Principal and Superintendent were the organizational skills needed to open a new school. High expectations were the third element that was recognized by the teacher and the Director/Principal. The parents and the Director/Principal established that vision was a quality that supported the creation of the school. The fifth element identified by the Superintendent and teacher was that the Director/Principal led by example. The final commonality was the focus on implementing the PYP.

There were a total of six areas uniquely identified in the interviews by separate stakeholders as elements that additionally supported the development and implementation of the PYP. The Director/Principal noted that elements of PYP were brought to the, ‘student level’ in Year 1 of the school. The Superintendent commented that the Director/Principal, “had her pulse on the school,” and the teacher shared that the Director/Principal provided the teachers with the necessary resources. The parents who participated in the interview offered two elements: communication and the caring, friendly demeanor of the Director/Principal.

Research question #2: In what, if any, ways does the leadership change over the course of the implementation of the PYP?
Table 6

*Interview Responses for Research Question #2*

<table>
<thead>
<tr>
<th>Source of Interview Responses</th>
<th>Director</th>
<th>Superintendent</th>
<th>Teacher</th>
<th>Parent</th>
</tr>
</thead>
</table>
| Research Question #2 In what, if any, ways does the leadership change over the course of the implementation of the PYP? | Interview did not yield any applicable responses | 1) IB model served a useful purpose to bring out instructional leadership qualities  
2) Adapted leadership to deal with new community of parents and new types of issues related to a new school and new program | Interview did not yield any applicable responses | Not addressed in the interviews |

Responses from all stakeholders were analyzed to look for comparative and contrastive data using the criteria mentioned above. The interview data from three of the sources did not provide data to address this research question. The Superintendent interview indicated two key leadership areas that had changed over the course of the implementation of the PYP. Having a historical perspective of the performance of the Director/Principal, the Superintendent noted that the PYP *brought out instructional leadership qualities* of the Director/Principal and that the Director/Principal had to *adapt her leadership* to deal with a new constituent of parents and issues related to a new program.

It is important to note that, although the interview process with the Director/Principal was lengthy and in most ways comprehensive, this researcher could not extract any evidence from the interview process that could adequately address this
research question. Therefore, there are no findings to report from the perspective of the Director/Principal.

Research question #3: What factors affect the leadership qualities of the school principal developing the PYP?

Table 7

Interview Responses for Research Question #3

<table>
<thead>
<tr>
<th>Research Question</th>
<th>Director</th>
<th>Superintendent</th>
<th>Teacher</th>
<th>Parent</th>
</tr>
</thead>
<tbody>
<tr>
<td>#3 What factors affect the leadership qualities of the school principal developing the PYP?</td>
<td>1) Must have a clear understanding of the parents’ expectations of the school 2) Must have an understanding of the diverse and preconceived notions of PYP and be prepared to address them 3) Demand to manage the school initially took precedence over developing the PYP 4) Instructional leadership that included a vision of the entire curriculum which included the standards based curriculum and IB standards 5) Clarity on creating an IB school culture aligned to the IB mission 6) Responded to the resource needs of the teachers</td>
<td>1) Successful classroom teacher 2) Honest communication with the staff 3) Hands on with all facets of the school 4) Interacted on an instructional level with the teachers</td>
<td>1) Knowledge of PYP 2) Encouraging, and provides constructive criticism 3) Understands the needs of the teachers 4) “Makes me feel good about myself and the job I do. PYP is truly our focus here; there is not a teacher here that does not want to be a PYP teacher and a good one.”</td>
<td>Not addressed in the interviews</td>
</tr>
</tbody>
</table>
This research question yielded a variety of responses. Two responses were comparable. The Director/Principal reported on creating an *IB school culture aligned to the IB mission* and the teacher revealed that the Director/Principal’s *knowledge of the PYP* was a leadership quality of the principal. Both the Director/Principal and the teacher provided similar evidence that, when tied together, produced a factor that affected the leadership quality of the principal. The Director/Principal disclosed that it was necessary that she *provide the resources for the teachers* and the comment from the teacher concurred with this that she (the Director/Principal) *understands the needs of the teachers*.

Additional evidence was provided by the Director/Principal, the Superintendent and the teacher that indicated the various facets of school leadership. The Director/Principal indicated three factors that affected her leadership qualities:

1. *the parents of the school came with a variety of preconceived notions of the PYP*,

2. *progressive and timely information regarding the PYP* helped the families better understand the mission of the school and,

3. *it was necessary to have a vision of the entire curriculum (standards based and IB standards)* to make the program come to full fruition.

The Superintendent provided a different lens for addressing this question. He noted during the interview that the Director/Principal had been *a successful classroom teacher*. He believed that experience directly affected her leadership by knowing what essential instructional elements were required of the teachers at VBS. Further, he
added, she provides honest communication with her staff, had a hands on style with all facets of the school, and he commented that she interacted on an instructional level with the teachers. These factors, he believed, affected her leadership quality in developing the PYP.

The teacher had two additional observations on this topic that were revealed during the interview. The observations spoke to the quality of communication as well as the result of the communication. The teacher noted that the Director/Principal encouraged (the teachers) and provided constructive criticism. The direct quotation from the teacher spoke to an inspirational quality of the Director/Principal, “She makes me feel good about myself and the job I do. PYP is truly our focus here; there is not a teacher here that does not want to be a PYP teacher and a good one."

Research question #4: What, if any, leadership style prevails in an emerging PYP school?
Table 8

*Interview Responses for Research Question #4*

<table>
<thead>
<tr>
<th>Research Question</th>
<th>Source of Interview Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>#4 What, if any, leadership style prevails in an emerging PYP school?</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Indicators from the interviews:</strong></td>
<td></td>
</tr>
<tr>
<td>- Long term vision</td>
<td>1) Engaged and, responsive leader, able to work with others to bring about change</td>
</tr>
<tr>
<td>- Clarity on IB components</td>
<td></td>
</tr>
<tr>
<td>- Instructional leadership</td>
<td>1) Has made me a better teacher</td>
</tr>
<tr>
<td>- Adaptable to various situations</td>
<td>Always listens to me, makes me feel supported</td>
</tr>
<tr>
<td>- Reflective</td>
<td>2) Inspires us to think intellectually about the international component of the program</td>
</tr>
<tr>
<td>- Identified benchmarks</td>
<td>3) She knows where we are going and where she wants us to go</td>
</tr>
<tr>
<td>- essential targets for success</td>
<td>4) High level of commitment to the school and the program.</td>
</tr>
<tr>
<td><strong>Director</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Superintendent</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Teacher</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Parent</strong></td>
<td>Not addressed in the interviews.</td>
</tr>
</tbody>
</table>

The responses regarding leadership style were insightful, yet broad. The Director/Principal provided only *indicators* and inferences of her leadership style through the interview process. They are noted as ‘*indicators*’ in the table above since they come from comments about leadership throughout the interview process. Nonetheless, they provided an important perspective to be considered in this discussion.

The Director/Principal and the teacher had one common leadership component in their response. The Director/Principal spoke to the having a *long-term vision* for the school and the teacher commented that, “*She knows where we are going and where*
she wants us to go.” Beyond that one commonality, the Director/Principal distinguished clarity on the components of IB and instructional leadership as necessary to leadership in an emerging PYP school. In her interview, she related that she was adaptable to various situations, reflective as a leader, and that she has identified key benchmarks or targets indicting success of the PYP program.

The Superintendent and the teacher made very similar remarks regarding the Director/Principal as they pertained to this last research question. The Superintendent noted that she “is an engaged and responsive leader, able to work with others to bring about change.” The teacher indicated, “She has made me a better teacher, always listens to me and makes me feel supported.” Two final indictors of the leadership style were shared by the teacher, she “inspires me to think intellectually about the international component of the program” and to conclude the interview from the teacher, she commented about the Director/Principal stating, “She has a high level of commitment to the school and the program.”
Table 9

Summary of Survey Data

Teacher Survey – 10 Participants (out of 12 possible respondents)

<table>
<thead>
<tr>
<th>Research Question</th>
<th>Survey Questions and Results</th>
</tr>
</thead>
</table>
| #1 What specific actions and leadership qualities does a school leader exhibit to create a school dedicated to the development and implementation of the PYP? | Does the principal create opportunities for teachers to plan and reflect collaboratively?  
Responses: AGREED = 80%, OCCASIONALLY = 20%  
Does the principal focus the school-wide staff development on learning about the purposes, principles, and practices of PYP?  
Responses: AGREED = 100%  
Does the communication in your school focus on the implementation of PYP?  
Responses: AGREED = 100%  
Does the principal speak of the vision of the school to the teachers?  
Responses: AGREED = 80%, OCCASIONALLY = 20%  
Does the principal demonstrate leadership?  
Responses: AGREED = 100% |
| #2 In what, if any, ways does the leadership change over the course of the implementation of the PYP? | Not addressed in the survey. |
| #3 What factors affect the leadership qualities of the school principal developing the PYP? | Does the principal communicate his/her beliefs about the purpose of school?  
Responses: AGREED = 70%, OCCASIONALLY = 30%  
Does the principal utilize a team of teachers for planning purposes for the school?  
Responses: AGREED = 100%  
Does the principal plan staff development utilizing a team of teachers?  
Responses: AGREED = 70%, OCCASIONALLY = 10%,  
Do Not Know = 20%  
Do the actions of the principal inspire you to change?  
Responses: AGREED = 50%, OCCASIONALLY = 40%,  
Rarely = 10%  
Do Not Know = 10% |
| #4 What, if any, leadership style prevails in an emerging PYP school? | Not addressed in the survey. |
Discussion

The design of the survey was intentional to determine levels of teacher perception on key elements on the topic of leadership as it related to this study, specifically research questions 1 and 3. Teacher survey questions relating to the first research question were designed to determine the degrees of specific actions of a school leader through the lens of a teacher. The question, “Does the school leader demonstrate leadership?” was intentionally vague. This researcher made the determination not to provide the teachers a specific definition on the topic of leadership but rather allow each teacher to apply their own paradigm of school leadership. It is noted that the topic of ‘communication’ is repeated in two questions and in different categories in the survey. While the topic of communication is a commonality, the survey questions were designed to ferret out teacher consideration of two different approaches or methods to communication in a school. This researcher made a deliberate decision to include two questions in the survey regarding the use of teacher teams. The intent of inserting these questions in the survey was to determine, if possible, the application of any actions that might be considered as an indicator of distributed leadership. A final consideration in the design of the survey was the topic of ‘inspiration’. The premise for this question is that it is a paradigm shift to move from a ‘traditional’ school to a more inquiry based pedagogy, such as VBS, and to determine if the leadership provided inspiration for professional change.
Research Question #1: What specific actions and leadership qualities does a school leader exhibit to create a school dedicated to the development of the implementation of the PYP?

The results of the teacher survey provide strong evidence that the actions and leadership qualities of the school leader at Valley Basin School (VBS) supported the development and implementation of the PYP. With the exception of the first questions regarding opportunities for teachers to plan and reflect collaboratively, all other questions pertaining to the first research question were corroborated by the evidence in the qualitative interview portion of the research. The strongest indicators regarding actions and leadership qualities were the communication regarding the focus and implementation of the PYP and that the Director/Principal displayed leadership.

Research Question #3: What factors affect the leadership qualities of the school principal developing the PYP?

It was challenging to determine if evidence from the interviews of the stakeholders provided data to corroborate the findings from the teacher survey. The question, “Does the principal communicate his/her beliefs about the purpose of school?” was not addressed in the interviews, but the results from the teacher survey could be considered by a school leader as a leadership quality that may have implications for a school staff. The second question, “Does the principal utilize a team of teachers for planning purposes for the school?” was affirmed during the teacher interview but not notated in the table since there was no direct linkage between that response and the research question. The final two questions of the teacher survey,
“Does the principal plan staff development utilizing a team of teachers?” and “Do the actions of the principal inspire you to change?” require more information to adequately discuss in this section and draw useful conclusions for this research study.

Synthesis of Data

The purpose of this research study was to investigate the purposeful activity of a school leader in the development and implementation of the IB Primary Years Program. The data and discussion presented in this report present a fair and comprehensible representation from the stakeholders of Valley Basin School.

The first person accounts from the various stakeholders indicate a school that is both managed and led effectively. The data indicates that Primary Years Program is being developed with careful consideration of the stakeholders. The culture of the school is being defined by the mission of IB and to date there is no evidence that even suggests that this school will fail in any regard. It is anticipated from the evidence suggested in this study that the implementation of the PYP is moving forward with the full engagement and dedication of the teachers, parents and school leader. The fact that there is no variation in the data suggests that the commitment to the success of the school is high and that the study could not find any deviations from that trend.

Key Findings

Leadership involves the identification, acquisition, allocation, coordination, and use of the social, material, and cultural resources necessary to establish the conditions for the possibility of teaching and learning (Spillane et al., 2001). This research study was designed to investigate the purposeful actions of the leader of a
new school implementing the Primary Years Program. A compilation of the data in this study reveals the following key findings:

*Curriculum expertise is essential.* A key finding that supported the implementation of the PYP was the degree of curriculum expertise that the Director/Principal brought to the school.

*Curriculum expertise extends to knowledge of the Primary Years Program.* The Director/Principal demonstrated an internalization of the component parts and essential tenets of the Primary Years Program. Opening a new school dedicated to the development and implementation of the PYP gave the school leader the opportunity to utilize her curricular expertise to extend beyond the standards based curriculum to incorporate the unit planning for PYP and begin to create a school culture that exemplified the mission of IB.

*Build and communicate the vision.* Utilizing the elements of curriculum expertise, knowledge of the PYP, and building a school culture around the mission of IB, it is essential that the school leader continually communicate the vision of the school to all stakeholders.

*Organizational skills build the foundational structure.* The work to open a new school cannot be minimized or underestimated. The Director/Principal considered all elements key to the day to day organization of the school. The necessary school structure supported the opportunity and environment for teachers to focus on learning and applying the elements of the PYP.
Implementing PYP requires resources for teachers. In this research the topic of ‘resources’ is defined as: time for teacher PYP program planning, allocation of funding for training, allocation of funding to bring IB consultants to the school to meet with teachers during the program planning sessions, and allocation of funding for materials that support the implementation of the program. The Director/Principal ensured that the teachers were equipped with the necessary resources to implement the PYP.

Communication promotes an understanding of the Primary Years Program. The parents of VBS came to the school with various understandings of the PYP. Communication from the Director/Principal was provided to the parents through various modes to promote an understanding of the teaching and learning at the school as well as the component parts of the program. The parents benefited from the communication provided by the school leader.

Teachers were the other beneficiaries of the communication from the Director/Principal. The communication to the teachers provided assurance and/or constructive criticism, which allowed the teachers to improve their instruction and delivery of the Primary Years Program.

Spillane et al. (2001) noted that leadership involves the identification, acquisition, allocation, coordination, and use of social, material, and cultural resources. The findings indicate that the Director/Principal engaged in specific actions and leadership qualities that match this definition of leadership. The Director/Principal utilized her curriculum expertise to identify the necessary curricular elements for the
school. She *acquired* an understanding of the tenets of the PYP. Resources were adequately and thoughtfully *allocated* for the teachers to implement the program, and the Director/Principal set up a school structure that provided the necessary *coordination* for a fully functioning school, she set the stage for learning and implementation of the PYP.
Chapter 5

CONCLUSIONS

The purpose of this study was to determine the specific actions and leadership qualities of a school leader whose charge was to create and foster a new school dedicated to the development and implementation of the Primary Years Program (PYP). The study was designed to determine which, if any, specific leadership model supports the successful implementation of the opening a new PYP school. Currently, no research exists on the leadership required to start a new school whose mission is to become a PYP school. The conclusions provided in this chapter will provide insight for other school leaders who may be on a similar journey.

The Primary Years Program is a comprehensive curriculum framework that is one of three programs offered by the International Baccalaureate Organization that help develop the intellectual, personal, emotional and social skills of students. Currently in California, there are twelve elementary schools that have converted to a PYP school. Valley Basin School is an exception. Valley Basin is a new charter school whose mission is to become a PYP school.

To determine the specific actions and leadership qualities of the school leader four research questions framed the study:

- What specific actions and leadership qualities does a school leader exhibit to create a school dedicated to the development and implementation of the Primary Years Program?
In what, if any, ways does the leadership change over the course of the implementation of the PYP?

What factors affect the leadership qualities of the school principal developing the PYP?

What, if any, leadership style prevails in an emerging PYP school?

The mixed methods study engaged key stakeholders in the school. Qualitative interviews were conducted with the Superintendent, the Director/Principal, one teacher who had been at the school since its inception, and the parents of students who are currently in the fourth or fifth grade and who had been at the school since it opened in 2008. Quantitative data was provided through a teacher survey. Ten of the 12 teachers participated in the survey.

Conclusions

Conclusion #1

The Director/Principal of VBS has demonstrated discernable and definable actions that have resulted in a school that is becoming fully prepared to meet the demands for authorization as an IB World School.

Results of this study found the Director/Principal was fully engaged in all components and facets of the school. She operationalized the opening a new school by creating the necessary school structures that included school wide systems and rules for all individuals to successfully function within. To staff the school she designed goals and expectations for hiring all school employees. She communicated the goals and high expectations during the hiring process.
Among the curricular actions she displayed was the planning for, and acquisition of, the core curriculum of the school. For the PYP she provided teachers: resources, coordinated grade level schedules for the purpose of collaborative planning, met with grade level teams to work collaboratively on the PYP planners, allocated funding for bringing an IB consultant to the school, and allocated funding to send teachers to IB training. The Director/Principal worked collaboratively with each grade level team. Participating in the process, she modeled and guided the planning process. As a result of the definable actions she was viewed by the stakeholders as ‘the’ instructional leader of the school.

Conclusion #2

The Director/Principal exhibited many leadership qualities that supported the development of the PYP.

First and foremost, the Director/Principal developed a school culture aligned to the mission of IB. She ensured she learned all aspects of the PYP in order to provide the necessary leadership for the teachers to develop their instructional practices and/or grade level program. She visited other PYP schools and networked with other PYP school leaders to create a vision of what Valley Basin School would be to the school community.

The Director/Principal has demonstrated that vision of a new PYP school must be shared to all stakeholders. Parents in the school community initially came to the school with diverse understandings of what a PYP school encompassed. Through her
ongoing communication and availability to the parent community, they better understand the type of teaching and learning that takes place at Valley Basin School. To the teachers the Director/Principal was viewed as a leader who communicated openly, led by example, and empowered others through her collaboration with them in the planning of the units for PYP. She provided resources for the teachers and created an atmosphere that was encouraging but included honest and constructive guidance as needed. Importantly, she demonstrated that she understood the needs of the teachers, as they became the pioneers in implementing a new program in a new school.

Conclusion #3

There are many factors that have affected the leadership qualities of the Director/Principal.

First and foremost, it was not known at the beginning of opening the new school the impact of the time needed to provide the management of all operational details and how it would affect the time for leadership of the PYP. This did not deter the Director/Principal from the goal of the successful implementation of the PYP, but it factored in as an unanticipated element that affected the time for leadership.

The IB model positively affected the leadership at the school. Qualitative evidence suggested that the IB model served a useful purpose by bringing out instructional leadership qualities of the Director/Principal. It was noted that the Director/Principal had to adapt her leadership to deal with the new community of parents to effectively communicate with them the tenets and goal of the PYP program.
Conclusion #4

This researcher determined that the current model of leadership utilized at Valley Basin School is an amalgamation of three leadership frameworks: Leader/Manager, Instructional Leader, and Transformational Leader.

Since leadership is about practice Gardner’s (2007) *Leader/Manager* model distinguishes itself as the key framework demonstrated by the Director/Principal. In Gardner’s model “leaders are integral parts of the system, subject to the forces that affect the system. They perform certain tasks or functions that are essential if the group is to accomplish its purpose” (p. 23). The work of Director/Principal at Valley Basin School links with four of the six elements that distinguish a leader/manager. They are:

1. They think longer term – beyond the day’s crisis, beyond the horizon
2. In thinking about the unit they are heading, they grasp the relationship to larger realities, conditions external to the organization
3. They put heavy emphasis on the intangibles of vision, values, and motivation
4. They think in terms of renewal, they seek revisions of process and structure required by ever-changing reality (p. 20).

Findings cited in Conclusion #3 indicate that the Director/Principal spends time as the leader and the manager of the school.

(2000, as cited in Leithwood) categorized the practices of an instructional leader into distinct areas:

- **Defining the school’s mission** including framing the school’s goals and communicating the school’s goals.
- **Managing the instructional program** includes supervising and evaluating instruction, coordinating the curriculum, and monitoring student progress.
- **Promoting a positive school learning climate** encompasses protecting instructional time, promoting professional development, maintaining high visibility, providing incentives for teachers, and providing incentives for learning.

Findings cited in Conclusion #1 verify that the Director/Principal serves as the instructional leader.

Leithwood (2007) shares his model of *Transformational Leadership* that include three board categories and nine specific sets of practice that create his model. One category is “**Setting Directions**” which encompasses “building school vision, developing specific goals and priorities, and hold high performance expectations” (p. 186). Category two is “**Developing People,**” which includes “providing intellectual stimulation, offering individualized support, and modeling desirable professional practices and values” (p. 189). The third category is “**Redesigning the Organization.**” The dimensions of this are “developing a collaborative school culture, creating structures to foster participation in school decisions, and creating productive community relationships” (p. 190).
Findings cited in Conclusion # 1 and 2 indicate that the Director/Principal is developing as a Transformational Leader.

The duration of the existence of the school, and of the study, provides insight as to the current model(s) of leadership utilized by the Director/Principal. What was stated above was derived from the research, but may not be the definitive leadership framework. It is suggested that over the duration of time the Director/Principal will have less of a need to manage the school and have more time to lead the school. Her experiences with implementing the PYP potentially will change her leadership framework. This is an area of suggested future longitudinal research that could possibly add to the understanding and body of knowledge of leadership frameworks...

Impact of Methodology

The interviews with the stakeholders of the school were the cornerstone of this study. The perspectives from each stakeholder group added value to the understanding of the specific actions and leadership qualities. Limiting the parameter for the teacher interview resulted in an interview of only one teacher, which likely limited the potential of diverse perspectives, which could have contributed more depth to this study.

Until the research was completed and an analysis conducted of the various interviews and data points, a novice researcher could not discern if the true target of the intention of the study is adequately revealed. In retrospect, this researcher would reconsider the interview questions asked of the Director/Principal. As a research subject, she was most forthcoming to the questions directed to her. However, if the
interview questions provided more direct questioning on the topic of leadership, this researcher might have been able to discern if a specific leadership framework existed.

This study was conducted in a time period between late November of 2009 through February of 2010, or mid-year in a school. Additionally, it was conducted in the second year of the existence of the school. What is not known is if the timing of the research had any impact on the perceptions of the stakeholders who participated in the research, especially the Director/Principal.

Recommendations

Taking on the role of the Director/Principal of a new school whose mission is to become an International Baccalaureate World School authorized to provide the Primary Years Program is not a job for every school administrator. For a school leader to be successful in this capacity they must be experienced as a school leader, dedicated and passionate to fulfill the mission of the International Baccalaureate Organization, and willing to put forth enormous energy in developing a school and develop the specialized PYP program. It takes a high degree of organizational skills, management of others, a clearly focused vision of the PYP program, and care and consideration of developing a school culture that will support and sustain a paradigm change for the teachers and the parents of the school community.

Leadership that is responsive to all stakeholders is essential for a school new to the PYP. The degree to which the leader of a school (such as VBS) must respond both reactively and proactively to a changing environment, (such as providing the curriculum leadership, adding a new grade level each year, instilling all components of
PYP, providing the necessary education of the parent community, as well as the day-to-day organization of the school), compels the leader to be comfortable understanding these parameters and be willing to respond continually. Therefore, a responsive leader of a school such as VBS must be comfortable living in a world that is ever changing.

The tenets of the IB program were appealing to this researcher because of what this robust program can provide to students for a comprehensive learning experience. Conversely, trying to apply a leadership framework as an overlay on this type of education was additionally appealing. It has been intriguing to learn how the Director/Principal has not only started a new school but also implemented the tenets of the PYP as they move toward becoming an IB World School.

Revisiting the recommendation of IBO to institute a distributive model of school leadership would not be practical or successful in a new school. This researcher has doubts that a distributive model of leadership is feasible at all due to the lack of empirical research and practical application. Ideally, a transformational model of school leadership would provide more value to the teachers and community of the school. But, it is unknown if this leadership framework would work in a new school versus a school that converted to the PYP. The issue of administration turnover remains an unresolved issue with the transformational leadership model. In fact, after the research on this study was formally completed, it was revealed that the Director/Principal had asked the Superintendent to be reassigned to the classroom. This request has since changed, and it is anticipated that the Director/Principal position will have the support of a designated part-time Curriculum Coordinator to
assist with the development of the PYP. This underscores the need to have a leadership model that will provide support for the teaching staff with their long-term goals and assist them as they continually change their paradigm of teaching to meet the needs and tenets of the PYP.

This researcher recommends three areas that deserve further study. First, it is recommended that a longitudinal study be conducted to determine ‘if’ and ‘how’ leadership of a PYP changes over time and what would the change be attributed to. Second, further study of IB school leadership and its effect on student achievement is recommended. Third, a longitudinal study of the leadership utilized in the three programs offered by IB and the effects and benefits of students moving through all three IB programs would prove to be a subject worthy of study and potentially benefit the rapid expansion of this model of schooling.
APPENDICES
APPENDIX A

Superintendent Letter
Dear Superintendent Johnson,

As you know I am in the research portion of completing my dissertation entitled:

**What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?**

**Purpose and terms** - To date no research study exists that reflects the type of leadership necessary to start a new PYP/IB school. It is anticipated that this dissertation will inform principals or directors of schools new to the PYP of the actions or consideration they could employ with their leadership to determine a leadership style or framework as they implement the PYP. The results of the study will be used in my dissertation. The school, Loomis Basin Charter School, all participating teachers, students and parents of the school will be asked to voluntarily participate in the study, and will be referenced using fictitious names and will sign consent forms to participate in the study. Example: Loomis Basin Charter School will be referred to in the study as Valley Basin School (VBS).

**Research Procedures** – the procedures for the research vary depending on the targeted group.

- I would respectfully ask you to participate in an interview of your perceptions of the leadership needed to implement a PYP/IB school. The interview will consist of no more then twenty questions and will take approximately one to two hours. Your response will be tape recorded and all interviews will be transcribed for use of the researcher only. The tape recording of the interview will be stored in a secured locked file until it is transcribed. Upon completion of the transcription it will be destroyed.

- I would respectfully ask your permission to conduct observations of the school during the school day and review school documents pertinent to the implementation of the PYP. Examples of pertinent documents will include but are not limited to: units of inquiry developed by the teachers, student work correlated to the units of inquiry, letters to the parents educating them on the key components of the PYP program, communication from the director/principal to teachers commenting on teaching and learning during the time dedicated to the PYP program and communication the director/principal may have with other school leaders of PYP schools.

- The Director of the school will be asked to participate in an interview process. It is anticipated that the interview for the Director will last no more then three hours in duration and will be divided into two or three interview sessions. All interviews will be conducted using a tape recorder and all interviews will be transcribed for use of the researcher only.

- The teachers who were present in the school during the 2008 – 2009 school year, and returned for the 2009 – 2010 school year, be asked to voluntarily participate in an anonymous survey and interview. They will be presented a letter explaining the research study and request they participate in the study. They will be presented a letter of consent to sign agreeing to consent to the research.

- The parents of students who were in the 3rd and 4th grade of the school during 2008 – 2009, and have returned to the school for the 2009 – 2010 school year, will be asked, by letter, for permission for their student(s) to participate in the study. They will be
provided a letter of consent allowing their child/ren to participate in the study. The qualifying students will be asked to participate in an anonymous survey consisting of no more then 10 questions.

- The parents of these students will be asked by letter to voluntarily participate in a survey and a voluntary interview with the researcher. The survey will consist of no more then 15 questions and the interview will consist of no more then 10 questions. They will be asked to complete a letter of consent before any survey or interviews.

- All parent and teacher interviews will be tape recorded and transcribed for the final report in the dissertations. All tape recordings will be destroyed by the researcher upon completion of the transcription.

*Risks* – Although the intention of the survey is not to elicit emotional response it is difficult to gauge when a person has an emotional reaction to a question. If the Superintendent, Director, teacher, student, or parent deems the question to be too personal they have the right to refrain from responding or to stop participating. That will be stated on the survey or interview form.

*Confidentiality* – All information is confidential to the researcher only. Every effort will be made to protect the confidentiality of all people participating in this study. The consent forms will be kept on file for one calendar year by the researcher. The researcher’s dissertation chair may have access to all data collected during the project. The final research report will not include any identifying information. All data and documentation will be destroyed upon completion of the study.

I am asking for your permission to contact the Director of your Primary Years Program School for his/her agreement to participate in this study. The study calls for interviews, one hour sessions, no more than three hours in duration of the Director. In addition, with your permission, I will solicit second year teachers of the school to participate in an interview and survey. All information conducted in the research using human subjects will be confidential and will be known to the researcher only. This research will all be conducted before December 7th of 2009.

If you consent to this research study and the surveys and/or interviews of the Director, teachers, parents and student please complete the attached consent form. If you have any questions please feel free to contact me at 652-1811 x114. If you wish to preview the interview questions of the Director, Teacher, Parents or Students please contact me and I will be glad to share them with you.

I thank you for your support and enabling me to research your program.

Sincerely,

Carolyn Nichols
Ed.D. Candidate
APPENDIX B

Superintendent Consent
To: Carolyn Nichols, Researcher  
From: Paul Johnson, Superintendent  
Re: Consent to Allow the Loomis Union School District to Participate in Research Study

November, 2009

I have read the attached letter presented to me outlining the research proposed to be conducted in the Loomis Union School District and specifically at Loomis Basin Charter School which will be referred to as Valley Basin School (VBS). I consent to the following:

1) As Superintendent I agree to participate in a confidential interview with the researcher:  
   YES _____ NO _____
   Participant’s Signature__________________________________ Date ___________________

2) As Superintendent I agree to allow the researcher to observe the school and review pertinent records and documents regarding the implementation of PYP.
   YES _____ NO _____
   Superintendent’s Signature________________________________ Date ___________________

3) As Superintendent I agree to allow the Director at VBS (pseudonym) to voluntarily participate in interviews for the research study.
   YES _____ NO _____
   Superintendent’s Signature________________________________ Date ___________________

4) As Superintendent I agree to allow identified teachers at VBS (pseudonym) to voluntarily participate in a survey and/or interview for the research study.
   YES _____ NO _____
   Superintendent’s Signature________________________________ Date ___________________

5) As Superintendent I agree to allow LUSD parents of students in the current grades of 4 and 5, who attended VBS during 2008 – 2009 to voluntarily participate in the research study by completing a survey and/or interview.
   Superintendent’s Signature________________________________ Date ___________________

6) As Superintendent I agree to allow LUSD students in the current grades of 4 and 5, who attended VBS during 2008 – 2009 to voluntarily participate if is consent is granted in writing by his/her parent.
   YES _____ NO _____
   Superintendent’s Signature________________________________ Date ___________________
APPENDIX C

Superintendent’s Interview Questions
SUPERINTENDENT’S INTERVIEW QUESTIONS

1. What is your background with the International Baccalaureate program?
2. What were your thoughts and considerations in terms of bringing the PYP or other IB programs to your school district?
3. What role did you play in the implementation of the program at Valley Basin School?
4. What qualities were you looking for in selecting the Director of the school?
5. What were expectations of the Director of the school?
6. Have your expectations of the Director changed? If so, how?
7. What were your expectations for the leadership of the school?
8. Have your expectations for the leadership of the school changed? If so, how?
9. What actions have you seen the Director of the school take or do that has developed the PYP program?
10. How would you describe ‘Transactional Leadership’?
11. How would you describe ‘Transformational Leadership’?
12. How would you describe ‘Distributive Leadership’?
13. IBO proposes that IB schools promote Distributive Leadership due to the turnover in school leadership and teachers. Do you believe that is a feasible model for VBS? Why or why not?
14. Have you seen the leadership of the Director change over the course of implementing PYP? If so, how?
15. What is your vision for the next year for the school?
16. What is your vision for the next two years for the school?
17. What is your vision for the next five years for the school?
18. Is there other information pertinent to this research project in terms of school leadership that you would like to share with me?
APPENDIX D

Director Letter
November, 2009

Samantha de Villa, Director Valley Basin School  
2009 Valley Basin Drive  
Valley Basin, CA 91245 (fictitious)

Dear Director de Villa,

I am a doctoral candidate in the Educational Leadership and Policy Studies department at California State University in Sacramento, currently working on my doctoral dissertation. I am pursuing a research study titled: **What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?**

This research focuses on essential elements of leadership needed to successfully implement the Primary Year Program of the International Baccalaureate program. I appreciate your time and willingness to participate in the study with me. One key element of the study will be interviews with me. The interviews are designed to allow reflection on your leadership and the implementation of the program.

Purpose - The results of this study will be used in my dissertation. My research focuses on the role of the school leader and the distinguishable characteristics of leadership with the implementation of the PYP program. The school of which you are the director will have a pseudonym as will all participants of the research. My interview of you is intended to be informal and may take two to three (one hour) sessions at the most. My role will be to ask the questions. A tape recorder will be used to chronicle your responses (which will be later transcribed). All tape recordings will be destroyed by the researcher as soon as they have been transcribed. And, as a researcher I will provide limited response to your comments.

I have asked permission of the superintendent to ask for teachers who are entering year two of the PYP program to voluntarily participate in an interview and complete a survey. All teachers volunteering to participate in the survey and interview will be assigned fictitious names and provided a letter of confidentiality/participation consent agreement. These interviews will last no longer then one hour in duration. A tape recorder will be used to chronicle their responses which will later be transcribes. All tape recordings will be destroyed by the researcher as soon as they have been transcribed.
I have asked the superintendent for permission to conduct observations of VBS and review documents pertinent to the implementation of the PYP.

I have asked permission of the superintendent to ask for parents of students who are entering year two of the PYP program to voluntarily participate in an interview and complete a survey. All parents volunteering to participate in the survey and interview will be assigned fictitious names and provided a letter of confidentiality/participation consent agreement. These interviews will last no longer than one hour in duration. A tape recorder will be used to chronicle their responses which will later be transcribed. All tape recordings will be destroyed by the researcher as soon as they have been transcribed. If you have any questions that you would like to address to my faculty advisor, Dr. Robert Pritchard, he may be reached at Pritchard@csus.edu.

I have asked permission of the superintendent to ask parents of students who are entering year two of the PYP program for permission to have their child/dren voluntarily participate in a survey. All students who are allowed to participate in the survey will be assigned fictitious names and parent will be provided a letter of confidentiality/participation consent agreement. After all data is compiled all surveys will be destroyed by the researcher.

I will contact you to set up a specific time and place for the interview. I anticipate approximately two to three hours of interviewing will be needed to complete the process.

Thank you for your assistance. If you have any questions about this process please do not hesitate to contact me. I have included my contact information below.

It is hoped that this research will serve other school leaders who look to implementing the Primary Years Program in their school.

Sincerely,

Carolyn Nichols
Ed.D. Doctoral Candidate
Loomis Union School District
cnichols@loomis-USD.k12.ca.us
cell – 916-517-5839
APPENDIX E

Director of VBS Consent Letter
DIRECTOR OF VBS CONSENT LETTER

October, 2009

Date ______________________

As the Director of Valley Basin School I have read the letter presented to me describing the study proposed for the school. I understand that I will participate in an interview and that the interview will be recorded. The information presented to me explains how the interview will be used in the research and how the tape recordings of the interview will be transcribed and the tapes destroyed upon transcription.

My signature on this form grants my consent to participate in the research study done by Carolyn Nichols, Ed.D. candidate.

_____________________________________________ ____________________
Signature       Date

Please print your name
APPENDIX F

Director Interview Questions
DIRECTOR INTERVIEW

Valley Basin School
School Director Interview Questions

1. What are your foundational beliefs about schooling?

2. Do your beliefs connect with your decision to become a principal? If so, how?

3. Do your beliefs connect with your decision to become the Director of the International Baccalaureate program? If so, how?

4. How do you describe your leadership?

5. How was the vision of the school created?

6. Describe the PYP program at your school.

7. Describe how you have implemented, as the school leader, the PYP program at VBS.

8. How do you measure the effectiveness of the implementation of the PYP?

9. What have you observed in terms of the capacity of your teachers as they have implemented PYP?

10. Rate yourself on the following: [Scale 1 – 5: 1=strongly disagree, 2=mildly disagree, 3=neither agree or disagree, 4=mildly agree, 5=strongly agree]

   - You provide vision and a sense of mission.
   - You instill pride among your employees.
   - You communicate high expectations.
   - You treat each employee individually and coach them and advise them accordingly.
   - You promise rewards for good performance.
   - You watch for deviations from school rules or norms and take corrective actions when standards are not met.
   - You avoid decision making.

11. How do you promote your vision?
12. Do you believe the PYP training has helped your teachers? Explain.

13. What have you done locally to continue to train your teachers for the implementation of the PYP program?

14. How do you hire teachers for the Valley Basin School?

15. How do you instill or initiate “buy-in”?

16. You have performed the role of the director of the school and the PYP coordinator. How have you done that and what do you anticipate are the next steps?

17. How do you measure implementation of PYP? What did you do in Year 1 of the school to measure implementation and what do you anticipate you will do in Year 2 of implementation?

18. What have been some of your leadership challenges?

19. What have been some of your implementation (of the PYP) challenges?

20. IBO recommends a PYP coordinator is key to the successful implementation of a successful program. What is your reaction to that statement?

21. How are you promoting your school?

22. How would you define success in terms of implementing PYP at Valley Basin School?
APPENDIX G

Teacher Letter
TEACHER CONSENT LETTER

November 2009

Dear Teacher;

I am a doctoral candidate in the Educational Leadership and Policy Studies department at California State University in Sacramento, currently working on my doctoral dissertation. I am formally asking you to voluntarily participate in a research study on the leadership of implementing a PYP program. Your input will help others understand the key components of school leadership in regard to the implementation of the Primary Years Program. The research for understanding the role of the school leader and the implementation of PYP is unique in the field of IB research. I am requesting that year two teachers at Valley Basic School (a pseudonym) participate in two types of research gathering: a survey and a one-on-one interview with me. I have received permission from the superintendent to ask for teachers who have taught at the school since it opened in August of 2008 to voluntarily participate in this study.

Confidentiality is a condition of this research study. The survey you will be asked to complete is designed to be confidential. The results will only be known to the researcher. No names, only pseudonyms, will be used in the final dissertation. Your timeliness in completing the survey, as well as honest responses will play an important role in the understanding of leadership of which others endeavoring to implement PYP will benefit. The interviews are comprised of twelve open-ended questions. All interviews will take place in your classroom at school. It is expected that the interviews will last approximately 30 minutes in duration. Your responses will be tape recorded. If you choose to participate in this study it is important for you to know that you have the right to skip any question or discontinue the interview at any time. All tape recordings will be secured in a locked file until transcribed. All tape recordings will be destroyed by the researcher as soon as they have been transcribed. No one but the researcher will read the surveys or be privy to the interviews. The results of the survey will be communicated in the dissertation but the school and all individuals cited in the dissertation will be assigned fictitious names. All surveys will be destroyed by the researcher as soon as the data is compiled.

If you have questions that I can address as you consider whether or not to consent to participating in this research study please do not hesitate to contact me. I can be reached at cnichols@loomis-usd.k12.ca.us, or by phone at 916-652-1811x114 or 916-517-5839. My faculty advisor is Dr. Robert Pritchard. If you have any questions you would like to direct to him please contact him at Pritchard@csus.edu. Please complete the attached form and return to me by fax (652-1809) or interdistrict mail.

Thank you for your consideration in participating in this research study.

Carolyn Nichols
Ed.D. Candidate
APPENDIX H

Teacher Consent Form
Teacher Consent

Date: _____________________________

I consent to participate in the research study entitled -

*What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?*

And I understand that I will be participating in a confidential survey and a tape recorded interview.

_____ I grant my consent to participate in this research study.

__________________________________________  _____________________
Signature       Date

_____ I DO NOT grant my consent to participate in this research study.

__________________________________________  _____________________
Signature       Date
APPENDIX I

Teacher Survey
Teacher Survey

The following question is the topic of the research. Please consider this question carefully as you choose your responses.

What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?

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<tr>
<th></th>
<th>Very Often</th>
<th>Often</th>
<th>Occasionally</th>
<th>Rarely</th>
<th>Never</th>
<th>Don’t Know</th>
<th>Does Not Apply</th>
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<tbody>
<tr>
<td>Does the principal create opportunities for teachers to plan and reflect collaboratively?</td>
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<td>Does the principal communicate his/her beliefs about the purpose of schooling?</td>
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<td>Does the principal focus the school-wide staff development on learning about the purposes, principles and practices of PYP?</td>
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<td>Does the principal utilize a team of teachers for planning purposes for the school?</td>
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<td>Does the communication in your school focus on the implementation of PYP?</td>
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<td>Does the principal plan staff development utilizing a team of teachers?</td>
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<td>Does the principal speak of the vision of the school to the teachers?</td>
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<td>Do the actions of the principal inspire you to change?</td>
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<tr>
<td>Does the principal demonstrate leadership?</td>
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APPENDIX J

Teacher Interview Questions
Teacher Interview Questions

The following question is the topic of the research.

*What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?*

1. How long have you been at VBS?
2. How long have you known the Director of the school?
3. Why did you want to teach at a PYP school?
4. What steps has your school gone through to implement the PYP?
5. What role has the Director played in the implementation of the PYP?
6. What are some of the highlights of the implementation process of PYP?
7. What leadership qualities does the Director of your school exhibit?
8. How has the leadership at your school affected you as a teacher?
10. Does the leader of your school inspire you intellectually? Please explain.
11. Is communication at your school, in regards to implementing PYP, effective? Please explain.
12. The International Baccalaureate Organization encourages IB school to create a model of school leadership whereby teams of teachers and staff all participate in various roles that distributes the leadership of the school. Do you see that as a feasible model for VBS? Why or why not?
APPENDIX K

Parent Letter:
Consent for Use of Student Work
PARENT CONSENT FOR USE OF STUDENT WORK

November 2009

Dear Parents,

I am a doctoral candidate in the Educational Leadership and Policy Studies department at California State University in Sacramento, currently working on my doctoral dissertations entitled:

*What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster A School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?*

There are many component parts of the research I am conducting. One element of the research is a review of some of the documents of the school. To undertake this research I have received permission from the superintendent for the use of the documents at Loomis Basin Charter School but I need your consent too. I am formally requesting your permission to view and possibly use your student’s school work in my research. The results of this study will be used in my dissertation. In my dissertation the school, Superintendent, Director, teachers, parents and students, if used, will have a pseudonym assigned to them.

To use student work in the research study I must request you complete the attached consent form. If you have any questions regarding this study please do not hesitate to contact me at cnichols@loomis-usd.k12.ca.us, or by phone at 916-652-1811 x 114 or 916-517-5839. My faculty advisor is Dr. Robert Pritchard. If you have questions that you would like to direct to him regarding this research project please email him at Pritchard@csus.edu.

Thank you for your assistance. It is hoped that this research will serve other school leaders who look to implementing the Primary Years IB Program at their school.

Sincerely,

Carolyn Nichols
Ed.D. Doctoral Candidate
APPENDIX L

Parent Consent for Use of Student Work
PARENT CONSENT FOR USE OF STUDENT WORK

I have read the letter informing me of the research study being conducted at Loomis Basin Charter School and give my consent for my student’s school work to be viewed and used in the research study entitled:

What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?

________________________________________ ___________________________
Signature      Date

________________________________________ ___________________________
Student Name      Grade

I have read the letter informing me of the research study being conducted at Loomis Basin Charter School and I DO NOT give my consent for my student’s school work to be viewed and used in the research study entitled:

What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?

________________________________________ ___________________________
Signature      Date

________________________________________ ___________________________
Student Name      Grade
APPENDIX M

Parent Letter and Student Survey Sample
Dear Parents,

I am a doctoral candidate in the Educational Leadership and Policy Studies department at California State University in Sacramento, currently working on my doctoral dissertation entitled: *What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?*

I am pursuing a research study focused on essential elements of leadership needed to successfully implement the Primary Year Program of the International Baccalaureate program. A key element of my research is gathering the input of the current 4th and 5th grade students who have been a part of the school since school opened in August 2008. As a parent of a child who has been at the school since its inception I am asking your permission to have your child complete a simple survey during the school day. The survey will be supplied to the students by the researcher. The survey will be anonymous and the results will be known to the researcher only. No names will be included in the survey. It will be explained to the students by the researcher that they may skip any question if they choose to do so. The purpose of the survey is to gather student perceptions of the implementation of the PYP program. Upon compilation of the survey results all surveys will be destroyed by the researcher.

The results of this study will be used in my dissertation. My research focuses on the role of the school leader and the distinguishable characteristics of leadership with the implementation of the PYP program. In my dissertation the school will have a pseudonym as will all participants of the research. The results of the survey will be confidential and utilized only by the researcher. The results of the survey will be generalized in the final report.

A copy of the survey for the students is attached to this letter for you to review. I would like to request that you review the survey and grant your permission for this survey to be provided to your child. I have attached a consent form for you to complete. On the form you can either provide consent for your child to complete the survey or deny consent for your child to participate in the survey. I request that you return this form to your child’s teacher who will collect them for me and place the forms in a specific envelope I will collect.

If you have any questions please do not hesitate to contact me at cnichols@loomis-usd.k12.ca.us or by phone at 916-652-1811 x114 or 916-517-5839. My faculty advisor is Dr. Robert Pritchard. If you have any question that you would like to direct to him he may be reached at Pritchard@csus.edu. Your support and participation in this study is appreciated.

Sincerely,

Carolyn Nichols
Ed.D. Doctoral Candidate
Parent consent form for student to participate in the research survey

PLEASE RETURN THIS TO YOUR CHILD’S TEACHER

Date: _____________________________

As a parent of Loomis Basin Charter School I consent for my child to participate in the research study entitled -

What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?

And I understand that my child will take a short confidential survey that I have had the opportunity to review.

______ I grant my consent for my child to participate in this research study.

_________________________________________  _____________________
Signature       Date

_________________________________________  ____________________
Signature       Date

Print Name

______ I DO NOT grant my consent for my child to participate in this research study.

_________________________________________  ____________________
Signature       Date

_________________________________________  ____________________
Signature       Date

Print Name

PLEASE RETURN THIS FORM TO YOUR CHILD’S TEACHER ON OR BEFORE JANUARY 22, 2010
## Student Survey Sample for Parent Review

<table>
<thead>
<tr>
<th>Statement</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>My principal inspires me to learn about IB</td>
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<tr>
<td>I know the Learner Profile</td>
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<tr>
<td>The students in my class model the Learner Profile.</td>
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<tr>
<td>My principal encourages me to do my best in school</td>
<td></td>
<td></td>
</tr>
<tr>
<td>My principal encourages me to model the Learner Profiles</td>
<td></td>
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</tbody>
</table>

I like this school because:

_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________

I have learned this from my principal . . . . (Please write down what you have learned.)

_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
APPENDIX N

Student Consent
Dear 4th and 5th Graders,

You are in a very special IB school. I am a researcher and I would like to know more about IB. I would like to have you participate in a short survey about IB. I have asked your parents for their permission for you to participate in the survey but as a researcher I also need to ask for your permission! The survey has 5 questions that are just YES or NO and two more questions where you write your answers. You can also skip questions you do not wish to answer. If you would like to help me learn more about IB by participating in this research please check the box below. If you would not like to participate please check the box below.

Thank you for considering this!

Mrs. Carolyn Nichols

______ Yes, I would like to participate in the survey for the research.

______________________________
Sign your name (Cursive or Print)

______ No, I would not like to participate in the survey for the research.

______________________________
Sign your name (Cursive or Print)
APPENDIX O

Student Survey
**Student Survey**

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>My principal inspires me to learn about IB.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>I know the Learner Profile.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The students in my class model the Learner Profile.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>My principal encourages me to do my best in school.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>My principal encourages me to model the Learner Profiles.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I like this school because:

_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________

I have learned this from my principal . . . . (Please write down what you have learned.)

_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
APPENDIX P

Parent Survey and Interview Letter
February 2010

Dear Parents,

I am a doctoral candidate in the Educational Leadership and Policy Studies department at California State University in Sacramento, currently working on my doctoral dissertation entitled:

What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?

I am formally asked you to voluntarily participate in a research study on the leadership of implementing a PYP program. A key element of my research is gather the input of parents whose children have been a part of the school in grades 3 and 4 (currently in grades 4 and 5) since the school opened in August 2008. As a parent of the school I am asking that you participate in this research study by completing an anonymous short 8 item survey and participate in a short 10 question interview taking approximately 30 minutes. The interviews will take place at Loomis Basin Charter School in the school library at a time that compliments your schedule. If you consent to participate in the research study you will have the right to skip any question or discontinue the interview. The survey and interview are one of the tools I will be utilizing to gather comprehensive data on the leadership of the PYP program.

The results of this study will be used in my dissertation. All information from the parent survey will be confidential and be used by the researcher only. Upon completion of the compilation of the survey results all surveys will be destroyed. All interviews will be tape recorded and then stored in a secure locked file until transcribed. Upon completion of transcription of the interviews the tapes will be destroyed by the researcher. In my dissertation the school, Superintendent, Director, teachers, parents, and students, if used, will have a pseudonym assigned to them.

To participate in the student I must request you complete the attached consent form. If you have any questions regarding this study, the survey or interview please do not hesitate to contact me at cnichols@loomis-usd.k12.ca.us, or by phone at 916-652-1811 x114 or 916-517-5839. My faculty advisor is Dr. Robert Pritchard. If you have questions that you would like to direct to him regarding this research project please email him at Pritchard@csus.edu. Based upon your consent I will be sending you the survey and information about the interview in a sealed envelope provided by your child’s teacher. Contained in this envelope will be an addressed stamped envelope for you to return the survey to me. If you choose to participate in the interview I will be contacting you by phone to arrange an appointment to meeting with you at your convenience.

Thank you for your assistance. It is hoped that this research will serve other school leaders who look to implementing the Primary Years IB Program in their school.

Sincerely,
Carolyn Nichols
Ed.D. Doctoral Candidate
APPENDIX Q

Parent Consent to Participate in Survey and Interview
PARENT CONSENT TO PARTICIPATE IN
RESEARCH SURVEY AND INTERVIEW

I consent to participate in the survey for the research entitled:
*What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?*

I understand that all survey results will be confidential and used only by the researcher and that upon completion of the research all documents will be destroyed.

________________________________________  _________________________
Name       Date

Signature

I DO NOT consent to participate in the survey for the research entitled:
*What Specific Actions and Leadership Qualities Does a School Leader Exhibit to Create and Foster a School Dedicated to the Development and Implementation of the Primary Years Program of the International Baccalaureate Program?*

________________________________________  _________________________
Name       Date

Signature

I consent to participate in the interview portion of the research project. I understand that Carolyn Nichols, researcher, will contact me to set up a time for the interview.

________________________________________  _________________________
Name       Date

Signature

I DO NOT consent to participate in the interview portion of the research project.

________________________________________  _________________________
Name       Date

Signature
APPENDIX R

Parent Survey
## Parent Survey Questions

<table>
<thead>
<tr>
<th>Question</th>
<th>Very Often</th>
<th>Often</th>
<th>Occasionally</th>
<th>Rarely</th>
<th>Never</th>
<th>Don’t Know</th>
<th>Does Not Apply</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the vision of the school communicated to you?</td>
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<td>Is the leadership of the school defined by the community?</td>
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<tr>
<td>Is the leadership of the school shared by the community?</td>
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<tr>
<td>Do you see your child understand the elements of the PYP?</td>
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<tr>
<td>Does the principal inspire your student in school?</td>
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<tr>
<td>Do you see the principal building commitment to the tenets of the IB?</td>
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<td>Does the principal model the learner profile?</td>
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<tr>
<td>Does the principal build trust?</td>
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</tbody>
</table>
APPENDIX S

Parent Interview Questions
Parent Interview Questions

1. Why did you choose the PYP for your child?
2. Do you believe you understand the elements of PYP?
3. How have the tenets or elements of the program been communicated to you?
4. How is the vision of the school communicated to the parent community?
5. What have you seen from your child that indicates to you that they are internalizing the tenets of PYP?
6. How has the school implemented the Primary Years Program?
7. What do you expect from the Director of the school?
8. What has the Director of the school done to foster the development of the PYP?
9. What qualities of leadership do you think the Director brings to the school?
10. How are parents able to participate in the direction or decision making of the school?
APPENDIX T

Brief Overview of the Process to Become an IB World School
Phases for Becoming an International Baccalaureate World School

**Consideration Phase**

This is the first phase of the application process. In this phase the school examines the PYP philosophy and curriculum to determine how they may be interpreted and applied in the school. A thorough feasibility study should be conducted on the possible consequences of implementing the program. Using relevant publications purchased from IBO the school will find information and guidance provided by the regional IBO office. The consideration phase is expected to take at least six months. All teachers and principals must take IOBO-approved training. Schools then prepare and collate the material needed to accompany the application. The school submits a completed PYP Form A, application fee, all required supporting documentation.

**Candidate Phase**

Once a school has received permission from the regional office to implement PYP as a candidate school the school must continue its preparation to deliver the program. All schools are required to teach the program for at least one year on a trial basis with appropriate guidance from the regional office before the PYP application B is submitted.

**Authorization Phase**

After implementing the program as a candidate school for at least one year, the school submits the completed Application form part B, the application fee, and the required supporting documentation to the regional IBO office. Upon successful review of the application the regional office arranges an authorization visit by an IBO visiting team. The purpose of the visit is to ensure the educational principles and practices on which the PYP is founded will be maintained and furthered by candidate schools.
REFERENCES


