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# The Unique Skills and Traits of One-Way and Two-Way Dual Immersion Principals

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The Unique Skills and Traits of One-Way and  
Two-Way Dual Immersion Principals

Ryan K. Rocque

A dissertation to be submitted to the faculty of  
Brigham Young University  
in partial fulfillment of the requirements for the degree of  
Doctor of Philosophy

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## ABSTRACT

### The Unique Skills and Traits of One-Way and Two-Way Dual Immersion Principals

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Doctor of Philosophy

The principal is an important key to school success and student achievement (Anderson & Togneri, 2003; Met & Lorenz, 1997). Considering the role of principals of dual immersion schools, few studies have considered factors leading to their success (Nicholson, Harris-John, & Schimmel, 2005; Simmons et al., 2007). With current advancements in skill mapping and meta-analyses, the understanding of skill and trait theory has improved, greatly enhancing the researcher's ability to effectively identify a leader's skills and traits (Derue, Nahrgang, Wellman, & Humphrey, 2011; Marzano, Waters, & McNulty, 2005; Scouller, 2011; Zaccaro, 2007). A clearer understanding of the skills and traits dual immersion principals need would help other dual immersion principals and the districts and states that train these principals (Waters, Marzano, & McNulty, 2003). Through a set of interviews and surveys, the researcher explored themes and patterns based on principals' opinions of the skills and traits they use. The researcher compared one-way dual immersion schools with two-way dual immersion schools in an effort to distinguish how principals' opinions vary between these two contrasting immersion paradigms.

An analysis of principal responses from the surveys and interviews revealed that a number of traits and skills identified in previous research are also important for dual immersion principals. In addition, the research found a number of new skills and traits unique to the dual immersion context. This research also found that many skills and traits of dual immersion principals varied between the contexts of one-way and two-way. These findings indicate an important shift in our understanding of the role of principal and the ways that dual immersion principals are trained.

Keywords: dual immersion, bilingual education, educational leadership, professional learning communities, professional development, foreign language education, skills-based leadership theory, trait theory of leadership, leadership responsibilities

## ACKNOWLEDGMENTS

Being a leader requires so much time and effort. The dual immersion principals I have interviewed have inspired me. They are change agents; they are dedicated to all students achieving at higher levels; they are the hope of our diverse students. These dual immersion principals are the unsung heroes of the real equality in education that we need in our nation today. It goes without saying that without their willingness to self-reflect, enabling me to see and understand their role as leaders, I would never have been able to accomplish this project. I am so grateful for that support, and for their wonderful insights.

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Finally, I wish to acknowledge the great strength and support of my chair, Dr. Scott Ferrin, and the other committee members. I see them as colleagues and friends. There has never been a time that I haven't felt their complete willingness to answer my questions, to make me think through a problem, to put me back on track, or to offer me words of support. They have fine-tuned my skills as a writer and researcher, helped me think deeply, and shown me my potential for contributing to the field of educational research. For all of their help, I express my sincerest gratitude and pay my utmost respect.

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## INTRODUCTION OF STRUCTURE AND CONTENT

The document is presented in the format of the hybrid dissertation, as approved by the McKay School of Education at Brigham Young University. Unlike a traditional “five chapter” format, the hybrid dissertation focuses on producing a journal-ready manuscript. Consequently, the final dissertation product has fewer chapters than the traditional format and focuses on the presentation of the scholarly manuscript as the centerpiece. Following the journal manuscript are appendices, which include an extended review of literature, a methodological section sufficient for the requirements of an institutional review board, and references for the entire dissertation. The survey instrument and interview guide are also included in the appendices.

The targeted journal for this dissertation is the *Foreign Language Annals* (FLA). The FLA is sponsored and published by the American Council on the Teaching of Foreign Languages (ACTFL), which is the primary professional organization for the advancement of the teaching and learning of foreign languages in the United States, and is published four times a year. Brigham Young University is a full institutional member of ACTFL, and foreign language faculty members attend the national conference annually to present research and participate in plenary and business meetings of the organization. I am also a current member of ACTFL and have been for the past several years.

Articles submitted to FLA are double blind reviewed by at least two expert readers for quality, one external and one in-house reviewer. Manuscripts may vary in length from 4,000 to 10,000 words. Preference is given to manuscripts that do not exceed 35 double-spaced pages. The manuscript in this hybrid dissertation targeted the 10,000-word length submission. The target audience for the FLA is composed of both academics and practitioners in foreign language education and educational leadership.

TEXT OF ARTICLE

## SKILLS AND TRAITS OF DUAL IMMERSION PRINCIPALS

### Abstract

This study considers the opinions of 12 dual immersion elementary school principals in investigating the following research questions: (a) What do dual immersion principals identify as the skills and traits that lead to success in a dual immersion context? and (b) What were the differences of opinion, if any, between principals of one-way and two-way dual immersion programs? Data were collected from 12 interviews and an online survey of 29 principals of dual immersion schools in the state of Utah. The themes and patterns that emerged from the data analysis point to five key areas of focus. These include being an Immersion Guru, an Immersion Overseer, an Outside-the-School Thinker, an Immersion Proponent, and a Cultural Unifier. There was also evidence that these skills and traits vary between one-way and two-way dual immersion programs.

*Keywords:* dual language / two-way immersion, qualitative study, immersion, all languages, mentoring

### **The Unique Skills and Traits of One-Way and Two-Way Dual Immersion Principals**

The elementary schools of America are changing. Principals in the current political, social and cultural climate deal with changing expectations driven by rapid shifts in student demographics, ever-increasing accountability requirements, and the burdens of rising standards for teachers and students (Byrnes, 2007; Ramirez, Perez, Valdez, & Hall, 2009). These changing expectations would seem daunting in any school, but when combined with the extra requirements of running a dual immersion program, the burden increases. Dual immersion (sometimes referred to as “dual language immersion” or “bilingual education”) is a model for helping elementary students learn a second or third language while simultaneously receiving other core content.

These programs help to preserve the language and cultural heritage of our nation’s youth, as well as provide an academic base for bilingual students to engage with more cognitively demanding content (Collier & Thomas, 2009). At the same time, English-speaking students are able to gain the valuable skills of bilingualism, biculturalism (Ramirez et al., 2009), and linguistic relativity (Kennison, 2014)—the phenomenon that language determines thought and has an important impact on a student’s worldview.

This study explored the skills and traits that current principals of dual immersion elementary schools say are important to their success as leaders. This research is intended to help support principals by providing feedback for state and district immersion coordinators.

#### **Role of the School Leader**

A strong understanding of leadership in schools is required to prepare and train current and future principals for leading a dual immersion school. During the current school-reform movement, many researchers have contributed to the understanding of the role of the school leader. This research has given rise to a new set of tested constructs for understanding the role of

leadership, as well as increasing support for distribution of responsibilities across leadership teams (Waters, Marzano, & McNulty, 2003). To strengthen these recent findings, more research must be done to understand how principals are handling and adapting to their role in different types of schools, and when dealing with a variety of new curricular innovations. Specifically, dual immersion carries with it a host of new challenges for a school leader (Coffman, 1992). This may be due to the degree of change dual immersion requires (Hellowell, 2011).

Research on principals has assisted in identifying important responsibilities for school leadership (Cotton, 2003; Derue, Nahrgang, Wellman, & Humphrey, 2011; Marzano, Waters, & McNulty, 2005). Marzano et al. define 21 responsibilities of a typical school leader, with a specific emphasis on how a school leader approaches large-scale changes (second-order change) successfully. This model and others like it include some indication of leadership traits and/or skills that make up the leadership paradigm (Derue et al., 2011; Katz, 1974; Mumford, Zaccaro, Connelly, & Marks, 2000; Northouse, 2009; Zaccaro, 2007). This research endeavors to extend Marzano's research on general responsibilities, advocating for the skills and traits dual immersion principals believe are essential to lead a successful dual immersion program.

### **Dual Immersion Model of Utah**

*Dual immersion* can imply many things. For the state of Utah, dual immersion is the model used for children in elementary schools who are taught the typical grade-school curriculum in both English and a foreign language (Hansen, 2009). There are one-way programs, where all students in the class study the foreign language together; and there are two-way programs, where roughly half are learning English as their second language, while the other half are learning a second language. Two-way dual immersion is particularly helpful for non-native students because, unlike other models that may ignore these students' heritage language or

culture, dual immersion views their native language and culture as an asset (Valdes, 1997). In two-way dual immersion schools, students are grouped together so that both native and non-native speakers can benefit from each other's expertise and support, aiding in the elimination of the cultural divide (Hernandez, 2011). Of dual immersion schools in Utah about 23% of them are two-way Spanish programs. One-way programs exist in Spanish, French, Chinese, and Portuguese (Roberts, 2011).

In Utah, dual immersion classes are taught by two teachers: one teaches in English, and the other is certified to instruct and support the students in the foreign language. This allows schools to implement the immersion program without increasing the number of teachers in the building (Christian, 1996). Students in successful dual immersion programs are able to learn standard content and stay on grade level, while acquiring another language (Appiarius, 2011).

The state has seen large growth in the number of dual immersion programs over the past 10 years (Roberts, 2011; Stuart, 2010). Utah is unique because the state has chosen to adopt a state-wide model that awards additional support in the form of start-up grants, professional development for principals and teachers, district-level support in the form of dual immersion coordinators, and even a dual immersion endorsement required for all new teachers (Leite, 2013). Utah plans to add new languages and more schools each year.

### **Adapting Leadership Research to Dual Immersion Context**

As dual immersion programs have evolved, research has identified specific factors that school leaders must incorporate to find success (Christian, 1996; England, 2009; Howard, Sugarman, Christian, Lindholm-Leary, & Rogers, 2007; Potowski, 2004). While these factors have been gathered from teachers and world-language coordinators, very few have been derived from research conducted with the principals themselves. Also, these studies only hint at the

importance of leadership traits and skills. Considering the significant advances in the current state of research-based understanding of leadership, a more robust analysis of leadership traits and skills for dual immersion administrators is needed.

This study explored the thoughts and opinions of current dual immersion principals in Utah to identify the unique leadership skills and traits they felt were important. This research also explored how even within dual immersion schools, the skills and traits of principals varied between one-way and two-way programs (Coffman, 1992; Hunt, 2009).

The study addressed two research questions: (a) What did dual immersion principals identify as the skills and traits that lead to success in a dual immersion context? (b) What were the differences of opinion, if any, between principals of one-way and two-way dual immersion programs?

### **Methods**

This qualitative study divided the population of dual immersion elementary principals into the subgroups of one-way and two-way dual immersion schools. Two-way schools are defined by the state of Utah as having a student demographic of roughly half language-majority and half language-minority students. One-way programs serve a homogeneous group of students who all study the target language together.

Past research indicates that possible differences may occur between one-way and two-way programs because of the difference in family involvement with homework, added intervention requirements for non-native students, and social prejudices among peer groups (Collins, 2010). The approach to and emphasis on culture is also cited as a difference between these subgroups (Hunt, 2009; Wesely, 2009). These research findings led to the inclusion in this study of a comparison between the responses of one-way and two-way principals.

### **Participants and Procedures**

The target population included all principals of dual immersion elementary schools in the state of Utah. The sampling design used a two-phase sampling process. Phase I was a survey of the entire population, allowing for census data from all principals in dual immersion elementary schools in Utah. This survey was sent via e-mail to all 57 dual immersion principals in the state whose districts granted research permission. The online survey was prepared and administered using Qualtrics (Qualtrics, 2014). The researcher contacted the principals between five and nine times by phone, e-mail, and telephone at two-week intervals. With these follow-up efforts, a total of 56% ( $n=32$ ) responded to the survey (Dillman, 2007; Fowler, 2009). Of those, 91% completed the survey ( $n=29$ ). Of those who completed the survey, 31% ( $n=9$ ) were principals of two-way programs and 69% ( $n=20$ ) were principals at one-way programs.

Phase II included one-hour interviews with 12 principals—4 two-way and 8 one-way principals. This proportion (33%) is somewhat similar to what is seen statewide (23%). This allowed for nearly equal representation between the two subgroups (Gall, Gall, & Borg, 2006). The two-stage sampling process began by randomly selecting principals from each stratum (one-way or two-way) at the proportion of 1:2. In other words, one two-way principal was selected at random, followed by two one-way principals and so forth. This continued until the point of theoretical saturation was met, meaning that the researcher was not discovering any new themes or patterns based on the principals' responses (Corbin & Strauss, 2008; Hite, 2005).

Of the one-way schools, five taught Chinese and three taught Spanish. All four of the two-way schools taught Spanish. Of the principals interviewed, 67% were female and 33% were male. Principals were chosen at random for participation. As a result, no French or Portuguese principals were interviewed. However, these languages were represented in the online survey,



and their open-ended responses were included in the data analysis and findings. Initial descriptive analysis of the survey results did not indicate a need to further segment the data into any other available strata. The interviews were conducted in person, with the exception of one phone interview at the request of the principal. The interviews were recorded and transcribed by the researcher.

### **Analyses**

Phase I, the online survey, included 19 demographic questions about the principals and their dual immersion schools. The next section of the survey included 14 multiple-choice Likert questions to measure the importance of skills and traits cited in previous research. The last section included 8 open-ended questions that related directly to the research questions.

The interview questions (Phase II) were structured episodically. The basis for this type of interview was discussed by Kvale (2007) as including four parts: (a) briefing, (b) debriefing, (c) thematic questions, and (d) dynamic questions. By targeting a particular research question from these four angles, the researcher gains triangulated data from the respondent about their conceptual knowledge, which improves credibility. After two interviews, the researcher analyzed the data at a basic level to allow for some possible adjustments; however, the collected data sufficiently answered the research questions while staying within the one-hour time limit, so no adjustments were necessary. After all interviews were conducted, data from the Qualtrics open-ended survey and the interviews were imported into NVivo 10 to facilitate analysis (Software, 2012).

The answers to the demographic questions on the survey were imported into NVivo as attribute data. This information helped compare the principals' responses based on age, gender, experience, and other school-level factors. The answers to the Likert questions on the survey

were explored as ordinal data using descriptive statistics—including bar charts and a summary of medians—and analyzed using non-parametric tests (Chi-Square). This information helped to confirm prior research regarding important skills and traits of dual immersion principals. Finally, the answers to the open-ended questions on the survey were imported into NVivo and were analyzed along with the interview responses to find themes and patterns.

To analyze the data collected in Phase II, the transcribed interviews were imported into NVivo. At that point, the comments from principals were coded using a constant comparative method (Miles, Huberman, & Saldana, 2014). Themes were identified using the basic threshold level of 65%, meaning that if 8 of the 12 informants mentioned the topic in their response, it was included as a potential theme. Those themes were then analyzed across and within cases, and contrasted with the various attribute data to find patterns (Corbin & Strauss, 2008). These themes and patterns formed the basis for the cross-case analyses and the findings. Themes were checked and cross-checked with a variety of data displays until the descriptive story emerged.

Qualitative research may be inherently biased (Miles et al., 2014). To assist in maintaining an understanding of these biases, the researcher kept a journal to record commentary on the research (Gibbs, 2007). In addition to the researcher's journal, memos were written for each theme as a way to differentiate between the objective data and the subjective views of the researcher (Erlandson, Harris, Skipper, & Allen, 1993). These tactics helped improve chances that the findings were valid, repeatable, and accurate as understood by the researcher himself.

Along with the research questions and the literature, Marzano's meta-analysis (2005) of 21 leadership responsibilities helped in sorting the data by themes. These 21 responsibilities were included as etic nodes and were coded whenever a principal mentioned them; other themes that were not mentioned as part of the 21 responsibilities were coded as emic nodes. The patterns

came from a combination of both the etic nodes and emic nodes created by the researcher. Analysis of the data yielded a number of relevant categorical nodes and five main themes or patterns that assisted in answering the research questions.

### **Results**

This study confirmed the importance of key skills and traits that are specific to the dual immersion context. The first and second research questions about skills and traits of dual immersion principals will be discussed, followed by a discussion of the results.

#### **Phase I Findings**

Phase I includes a summary of the participants in the online survey. These results indicate the number of respondents selecting a particular response divided between one-way and two-way principals. Analysis of this data showed that, in general, the principals of dual immersion schools surveyed in Utah were new to their role, with 90% of survey respondents being in their first five years as a dual immersion principal. Additionally, only two principals surveyed had previously worked in a dual immersion school. All but one principal were Caucasian. Surprisingly, only ten (33%) of the principals spoke a second language, and only five (17%) demonstrated language homophily (meaning that the principal speaks the language taught in their dual immersion school)—four in Spanish and one in Chinese.

Considering the schools themselves (Table 1), 69% of the dual immersion programs surveyed enrolled fewer than 200 students and 83% of all schools were strand models (meaning that the program is only part of the school, and the majority of the student population does not study the second language). Given the financial burden of implementing dual immersion in schools, it is not surprising that 79% of the schools received district and state funding to begin and maintain their programs.

Table 1

*Descriptive Statistics of Survey Participants by One-Way and Two-Way Programs*

Characteristic	One-Way (n=20)	Two-Way (n=9)	Total (n=29)
Administrative experience			
5 years or less	25%	22%	7
6-15 years	70%	67%	20
16 years or more	5%	1%	2
D.I. experience			
5 years or less	95%	78%	26
6 to 10 years	5%	22%	3
Ethnicity			
Caucasian	95%	100%	28
Hispanic/Latino	5%	0%	1
2 <sup>nd</sup> language fluency			
Some	25%	56%	10
None	75%	44%	19
Type			
Strand	85%	78%	24
School wide	15%	22%	5
Enrollment			
Less than 200	75%	56%	20
200-400	25%	44%	9
Title I			
Yes	20%	67%	10
No	80%	33%	19
Funding			
State	80%	78%	23
Other	20%	22%	6
Language Homophily			
Yes	20%	11%	5
No	80%	89%	24

*Note.* When the two groups differed by more than 20%, it will be mentioned in the text of the article.

In a few instances, the principals' responses differed between one-way and two-way schools. For instance, 25% of one-way dual immersion principals spoke a second language fluently compared to 56% of two-way principals. Only one of the two-way principals surveyed spoke the school's immersion language. Based on the survey data, 67% of two-way programs also functioned as Title I schools, compared to only 20% of one-way schools.

Following demographics, the next section of the survey was an intensity scale that asked respondents to rate the importance of certain traits and skills on a Likert scale from *not important*

(1) to *extremely important* (5), with regard to their role as dual immersion principals.

Researchers of dual immersion principals previously identified each of these traits and skills. For 13 of the 14 skills (92.9%), the mean response was between 3.68 and 4.64, but for the skill of speaking a second language, the mean response was only 1.86 (Table 2). This skill of language fluency refers to the principal having studied or learned a second language, though not necessarily the school's immersion language.

Table 2

*Summary of Mean Responses to Survey Likert Items by Program Type*

Skill or Trait	M	One-Way M	Two-Way M	Total (n)
Create a sense of community	4.5	4.48	4.55	36
Provide resources	4.42	4.48	4.27	36
Understand theory & practice	4.19	4.24	4.09	36
Advocate for the program	4.61	4.68	4.45	36
Inspire & motivate faculty	4.58	4.64	4.45	36
Communicate with others about the program	4.47	4.52	4.36	36
Build relationships with faculty	4.61	4.6	4.64	36
Observe, evaluate, & train teachers	4.53	4.56	4.45	36
Encourage cohesion between dual immersion teachers and other teachers	4.64	4.6	4.73	36
Learn about dual immersion	4.39	4.44	4.27	36
Speak a foreign language	1.86	1.76	2.09	36
Praise teachers	4.37	4.42	4.27	35
Challenge status quo	3.68	3.56	4	34
Set goals and follow up	4.28	4.16	4.55	36

*Note.* Means are based on the average of all Likert responses for each Likert item on the ordinal scale from 1 to 5, with 1 being not important and 5 being extremely important.

Regarding the lowest ranked skill, second-language fluency, the researcher considered possible factors that may have influenced the ranking. One of these potential factors was whether or not the principal speaks a second language. However, when comparing survey results between

principals who speak a second language and principals who do not, the resulting Chi-Square value did not show evidence to support an association ( $p < .132$ ). In other words, the data revealed no evidence that speaking (or not speaking) a second language was associated with a principal's response to this Likert item. It was also considered that the school model (whole-school or strand model) might be associated with the low ranking of second-language fluency (Table 3). At the 95% confidence level, the Chi-Square did show evidence of a relationship ( $p < .030$ ). The choice to rank second-language fluency as "extremely important" by whole-school model principals on this Likert item was the greatest predictor of this association.

Table 3

*Summary of Survey Responses to Likert Question Item by Program Model*

Skill or Trait	Model	1	2	3	4	5	Total
Speak a foreign language	whole school	80%	-	-	-	20%	5
	strand	44.7%	41.7%	16.7%	-	-	24

*Note.* Pearson Chi-Square values showed significant difference between groups at the 95% confidence level ( $p < .030$ ). The association that most predicted this association was the choice of "extremely important" with a standardized residual value of +2 for that cell.

## Phase II Findings

The findings from the 12 interviews revealed several important themes and patterns related to the skills and traits of dual immersion principals. These findings also revealed significant differences between one-way and two-way dual immersion programs (Table 4).

Table 4

*Descriptive Statistics of Interview Participants by One-Way and Two-Way Programs*

Characteristic	One-Way (n=8)	Two-Way (n=4)	Total (n=12)
2 <sup>nd</sup> Language Fluency			
Some	25%	75%	5
None	75%	25%	7
Gender			
Male	37.5%	50%	5
Female	62.5%	50%	7
Model			
Strand	100%	75%	11
School wide	0%	25%	1
Experience			
5 years or less	87.5%	75%	10
6-10 years	12.5%	25%	2
Language Homophily			
Yes	0%	75%	3
No	100%	25%	9
Title I			
Yes	25%	75%	5
No	75%	25%	7

*Note.* When the two groups differed by more than 30%, it will be mentioned in the text.

This study included 12 interviews: 8 from one-way principals and 4 from two-way principals. When comparing the one-way and two-way interview participants, several significant differences emerged. Of the two-way principals interviewed, three of the four spoke Spanish (the immersion language of their school), whereas none of the Chinese dual immersion principals spoke Chinese. One of the two-way schools had a whole-school model, whereas the other two-way and one-way schools were strand models. Finally, there were more two-way schools designated as Title I (75%) than one-way schools (25%). These descriptive statistics are comparable to the survey descriptive statistics, with perhaps a slightly higher percentage of two-way principals with second-language fluency among interview participants (75%) compared to the survey participants (56%). Another difference between the interview and survey participants was the ratio of language homophily. Among survey respondents 20% of one-way and 11% of

two-way principals exhibited this demographic, compared to 0% and 75% respectively. These comparisons help to show that these interview subjects are representative of the population.

Recall that to help define the themes and patterns of this qualitative study, the researcher used the framework from a meta-analysis of 21 principal responsibilities, which relate to skills and traits (Marzano et al., 2005). Though this study looked at leadership in general, it did provide a top-down framework to explore the leader's role in dual immersion.

Based on the findings in this research, 27 skills and traits were identified at the 65% threshold level. The rationale behind this level is to show a super majority. Of the 27 skills and traits, 17 matched with Marzano's responsibilities. These skills and traits are ranked according to the percentage of coding sources. The items in bold (Table 5) indicate skills or traits not previously described in the 21 responsibilities identified in the work of Marzano et al. (2005). These data also show a difference in the ranking of Marzano's responsibilities. The original alpha level ranking is shown on this table for comparison.

In Marzano's research, he discussed that these responsibilities were dependent on whether first- or second-order change was occurring. It was Hellowell (2011) who first described dual immersion as this type of a second-order change. Marzano found that with second-order change only seven key responsibilities were significant. These skills, shown with an asterisk (Table 5), all appear in this research, though with varying degrees of importance.

Among two-way and one-way interviewees, these data also indicate several differences (Table 5). For the purpose of this research, a difference is being defined as a percentage difference of at least 25% between one-way and two-way principals. In each case, one-way principals mentioned these particular skills less than the two-way principals. There were also seven skills or traits that did not make the list at all. These skills or traits came from emic nodes.



Table 5

*Summary of Skill and Trait Themes from Interviews by One-Way and Two-Way Principals*

Skills	Combined (12)	One-Way (8)	Two-Way (4)
*Change Agent (2)	100%	100%	100%
Culture (5)	100%	100%	100%
*Knowledge of Curriculum, Instruction, and Assessment (13)	100%	100%	100%
*Optimizer (15)	100%	100%	100%
Order (16)	100%	100%	100%
Outreach (17)	100%	100%	100%
Situational Awareness (20)	100%	100%	100%
<b>Knowledge of Culture</b>	100%	100%	100%
<b>Knowledge of Language</b>	100%	100%	100%
<b>Hiring</b>	100%	100%	100%
*Ideals & Beliefs (9)	100%	100%	100%
*Flexibility (7)	92%	88%	100%
Input (10)	92%	88%	100%
*Monitor & Evaluate (14)	92%	88%	100%
Resources (19)	92%	100%	75%
<b>Commitment &amp; Support</b>	92%	88%	100%
*Intellectual Stimulation (11)	83%	88%	75%
Visibility (21)	83%	75%	100%
<b>Positive &amp; Passionate</b>	83%	75%	100%
<b>Scheduling and Time Management</b>	83%	88%	75%
Focus (8)	75%	63%	100%
Involvement in Curriculum, Instruction, and Assessment (12)	75%	63%	100%
<b>Encouraging</b>	75%	75%	75%
<b>Empathy</b>	75%	75%	75%
<b>Recruiting</b>	67%	63%	75%
Communication (4)	67%	50%	100%
<b>Ethical and Moral Leadership</b>	67%	50%	100%
Relationships (18)	58%	50%	75%
<b>Equality and Fairness</b>	50%	63%	25%
<b>Mothering</b>	42%	50%	25%
<b>Trustworthiness</b>	16.7%	12.5%	25%
Discipline (6)	8.3%	12.5%	0%
Affirmation (1)	0%	0%	0%
Contingent Rewards (3)	0%	0%	0%

*Note.* Bolded items refer to skills and traits not discussed by Marzano et al. (2005). Table is ordered by rank % of coding sources from all 12 interviewees. Numbering refers to original alpha levels of the research. The asterisk refers to those skills that are associated to second-order change according to Marzano et al. When the two groups differed by more than 30%, it will be mentioned in the text. The threshold level for determining a finding was 65% in the current research study.

**One- and two-way differences.** When comparing the principals in one-way and two-way programs, some differences emerged. These are shown by at least a 30% difference in the coding sources between interview participants. They include Focus; Involvement in Curriculum, Instruction, and Assessment; Communication; and Ethical and Moral Leadership. This section will describe some of the findings that support these data. The content tags of one-way (1w) and two-way (2w) attached to a name help to indicate the type of school.

“Focus” refers to the extent to which the principal uses professional learning communities to set goals, and the degree to which the principal keeps the school focused on those goals. Of one-way principals, 63% mentioned this as a critical skill for dual immersion principals to have, compared to 100% of two-way principals. Some one-way principals stated that issues with faculty posed a challenge to this trait. They struggled to generate interest among faculty for the new immersion programs. Cassandra (1w) said, “My biggest weakness has been trying to get my other faculty on board, and to try and still have that community within my school.” She isn’t alone. Another principal, Betty (1w), had a faculty that had already experienced dual immersion, didn’t like it, and now were part of a school that was going to start a new program. For two-way principals, the issues were similar. In hopes of creating a more accepting atmosphere, Tammy (2w) struggled to eliminate the perception of the “have and have-nots” —wherein non-immersion teachers feel that a principal gives additional support, resources, attention, or favors to the dual immersion teachers, thereby creating a feeling of inequality among the staff. Tina (1w) explains, “We do PLCs [Professional Learning Communities], and yet we are kind of in two different places. You don’t want to isolate [the dual immersion team] from the rest of your teams, ... and that gets a little hard.”

The second difference between one-way and two-way principals was found in the skill of Involvement in Curriculum, Instruction, and Assessment. One-way principals again mentioned it less (63%) than two-way principals (100%). This skill means that the principal is directly involved in designing curriculum, addressing assessment issues, and helping teachers become better educators. Two-way principals were very involved in many facets of the curriculum piece. Tammy (2w) advocates teaching the content through immersion activities and states the importance of never translating for students. She is often in the classrooms, observing and giving teachers feedback. She knows Spanish and can communicate with students and teachers all the time in their native language. Justice (2w) is the same. He believes strongly in “commonality of support” and the need to give equal treatment to English and Spanish at his school. He is directly involved with teachers and strives to ensure that his students meet stringent academic standards in Spanish and English. His prior experience teaching in a bilingual community has helped him in this role. Candice (2w) works on “refining her skill as an evaluator” so she can give effective feedback to her teachers and help them improve. Contrast this to Tina (1w) and other one-way principals, who provide resources like books, or who send teachers to conferences. Many one-way principals also relied heavily on the district or teachers in their school to make sure the curriculum piece was done correctly.

The third difference was found in the skill of Communication. Tina (1w) said, “I think communication...is key.” Only 50% of one-way principals mentioned it, compared to 100% of two-way principals. “Communication” is establishing effective correspondence with the staff and being accessible to teachers. For two-way principals, knowing the language helped to validate the importance of foreign-language teachers and parents. Justice (2w), who speaks fluent Spanish, mentioned how using his Spanish at parent meetings and at school helps to change the

perception of the Spanish speaking parents and students. Tony (2w), another Spanish speaking principal, stated that “our parent community population appreciates the way that we try to honor that culture through the Spanish immersion, and so it’s a big deal to our parents.” Tammy (2w) also speaks two languages and is very supportive of her dual immersion program. Seeing students lose their language and the ability to communicate with their parents would “break her heart.” These types of statements were much more apparent in two-way programs than in one-way, and they were often linked to the principal’s capacity to speak the immersion language.

The final difference is within the area of Ethical and Moral Leadership. Again, only 50% of one-way principals mentioned this trait, compared to 100% of the two-way principals. An important part of being an Ethical and Moral Leader is having a personal connection—the ability of principals to focus not only on the academic success of their students, but also on their overall persona (Thomas & Collier, 2002). They encourage positive growth for diverse students and stand up for minority rights in the school and community. Justice (2w) calls it “social justice.” He wants the entire community to appreciate and love Spanish as much as they love and appreciate English. Tina (2w) smiles as she talks about the native English speaking students’ ability to speak Spanish without an American accent. Tony (2w) is in love with the Spanish language and culture. He sends all of his own kids to Spanish immersion schools, and he enjoys going into classrooms and speaking Spanish with the students. From the research data, there was a clear focus on non-native Spanish speaking students among two-way principals. This element doesn’t come into play with one-way schools, because they rarely, if ever, have native students.

### **Essential Focus Areas of Dual Immersion**

The 27 skills and traits and the differences between one-way and two-way schools provide important insights for answering the research questions. After additional investigation

and refinement, the researcher found that these skills and traits could be further refined into five focus areas (Table 6). The researcher began the refining process by forming NVivo matrices from skills and traits that were supported in the data at the 65% threshold level. As the research continued, it was clear that certain skills and traits clustered together, forming identifiable patterns. By creating a term for these patterns (“the focus areas”), these new theme nodes then allowed the researcher to look for support for the five focus areas from the interviewees. These findings again reveal differences between one-way and two-way principals—particularly in the area of Cultural Unifier. Two-way principals discussed this 100% of the time, whereas one-way principals did so only 67% of the time. The areas of focus are ordered by the percentage of coding sources from the 12 interviewees.

Table 6

*Summary of Areas of Focus*

Area of Focus	Corresponding Skill(s) and/or Trait(s)	Total	One-Way	Two-Way
Immersion Guru	Knowledge of Curriculum, Instruction, and Assessment; <b>Knowledge of Culture</b> ; <b>Knowledge of Language</b> ; Situational Awareness; Ideals and Beliefs; and Intellectual Stimulation	97%	98%	96%
Outside-the-School Thinker	Flexibility; Change Agent; <b>Scheduling and Time Management</b> ; and Input	92%	91%	94%
Immersion Proponent	Optimizer; Outreach; <b>Positive &amp; Passionate</b> ; <b>Encouraging</b> ; <b>Commitment &amp; Support</b> ; and <b>Empathy</b>	88%	85%	92%
Immersion Overseer	Involvement in and Knowledge of Curriculum, Instruction, and Assessment; Monitor & Evaluate; Resources; Visibility; Order; Hiring; <b>Recruiting</b> ; and Focus	85%	81%	94%
Cultural Unifier	Communication; <b>Ethical &amp; Moral Leadership</b> ; and Culture	78%	67%	100%

*Note.* When the two groups differed by more than 20%, it will be mentioned in the text. Bold items again indicate the new skills and traits not mentioned in the original 21 responsibilities of Marzano et al. (2005). Percentages were calculated by averaging the percentage of coding sources from each skill or trait in Table 5.

**The Immersion Guru.** This focus area can be described as a person who is a savant, a thinker, a scholar on all things related to dual immersion. This area of focus includes the skills of Knowledge of Curriculum, Instruction, and Assessment; Knowledge of Culture; Knowledge of Language; Situational Awareness; Ideals and Beliefs; and Intellectual Stimulation.

In the context of dual immersion, a principal evidently needs to gain a specialized understanding of many things to be a competent problem solver. This means supporting, training, teaching, and leading teachers to be true to the model of dual immersion (Collins, 2010). One principal, Tammy (2w), explained that a dual immersion principal should be up-to-date and well versed in research and theory and how to articulate them. Other researchers have similarly pointed to the need for dual immersion principals to work at gaining knowledge of dual immersion theory (Coffman, 1992; England, 2009). In addition, many of the dual immersion principals emphasized the importance of predicting the possible pitfalls of dual immersion (Hellowell, 2011). In this visionary role, principals reported that they must strive to be aware of the details and undercurrents in the school and use this information to address existing and potential problems (Kose, 2009). This foundational knowledge forms the core of principals' personal convictions, which in turn highly affect their level of engagement in all other areas of focus.

**An Outside-the-School Thinker.** Dual immersion principals must be change agents. They have to perform actions beyond those required of typical administrators. They must be flexible, creative, status-quo-side-stepping innovators. This area of focus subsumes the responsibilities of Flexibility, Change Agent, Scheduling and Time Management, and Input.

The process of change is often emphasized in dual immersion research (Levine & Lezotte, 1995). In order to influence the political, social, economic, legal, and cultural contexts,

dual immersion principals in this study had to set the tone for change (Hellowell, 2011). The focus for two-way principals was on how to mediate demands coming from two very different socio-economic groups (Coffman, 1992). These two-way dual immersion principals had to be willing to challenge the status quo and push for social justice (Hernandez, 2011). For all dual immersion principals, the political realities were demanding. Just starting the program required many of the principals to advocate and promote its success, especially among staff members who actively opposed it. Betty (1w) did not mince words when she told her teachers that they could either “stay and do dual immersion, or they could move.” In another case, Martha (1w) had to overcome faculty issues because a previous administrator had tried to drop the program, much to the dismay of parents—who fought it with the district. Justice's (2w) teachers were hesitant, and Tammy's (2w) faculty felt “negative and devalued” with immersion in their school. The community wanted the program, and the principal had to ensure its success. Others, like John (1w) and Michael (1w), did not mention these challenges.

Perhaps because of the extra pressure, dual immersion principals delegated some of their responsibilities to others. In some cases, a principal would send someone else to meetings; others turned over parts of their teachers’ professional development to the district or state; a few depended entirely on a world-language team to manage dual immersion in the school. Outside-the-School Thinking means just that—dual immersion principals who look to others inside and outside the school for sources of funding or training.

**Dual Immersion Proponent.** As proponents, dual immersion principals must become advocates, supporters, champions, and promoters of dual immersion programs. This area of focus includes the skills of Optimizer, Outreach, Positive & Passionate, Encouraging, Commitment & Support, and Empathy.

Dual immersion principals should stand behind the dual immersion program. As Hunt (2009) understood it, they are able to bring others over to their ideas and beliefs by inspiring them. The extent to which a dual immersion principal optimizes the new program will determine the tone for the entire school. Linda (1w) called this “furthering the vision.” Betty (2w) added that you have to be “positive and honest” with students and parents. This is especially true in the strand model (when only part of the school is involved in dual immersion), where the principal has to show that the program is an integral part of the whole school’s vision and mission (Potowski, 2004). Cassandra (1w), a first-year principal, was most challenged by building unity in the school: “It is hard to get the other faculty on board and still have that community within my school.” Some of the more experienced principals emphasized the importance of supporting their teachers. As John (1w) put it, dual immersion has required “a level of support and hand-holding that we don’t have to give with other teachers.”

A principal that is a proponent will always seek opportunities to educate the public on the great benefits of language learning, and will connect with parents, the community, the district, and the state. Margaret (1w) explained this perfectly: “You can’t advocate for it, or be a proponent, if you don’t understand it and know it, and haven’t seen research or been introduced to all the different pieces and parts, and seen it in action.” With knowledge also comes empathy. Michael (1w) said that it was empathy that allowed him to “help all of his teachers,” and that it was hard for him to learn how to support them initially until he had gained this empathy.

**The Immersion Overseer.** An overseer is a manager. She focuses on building the capacity of teachers through assessment measures. She recruits students, hires quality teachers, and is engaged in immersion sustainability. This area of focus incorporates the skills of



Involvement in and Knowledge of Curriculum, Instruction, and Assessment; Monitor & Evaluate; Resources; Visibility; Order; Hiring; Recruiting; and Focus.

All principals need to track a teacher's progress on tier-one instruction through data-driven decision-making to assist in making school improvement choices. The dual immersion principals interviewed shared how administering an immersion program creates an extra layer of complexity in the tracking process. All the participants evaluate effectiveness of teaching and the impact language learning has on student learning in other areas. Likewise, all the dual immersion principals considered ways of intervening with struggling students. Candice (2w) shared how some parents from other cultures just "don't have a big responsibility at home to do anything," and others come into their program testing really low, which puts "a burden on the school." One factor that contributed to the principals' frustration seemed to be the limited number of assessment tools available to track the students' foreign language progress. One-third of the principals talked about how challenging it was to set up computer-assisted grading software to assess their students, and half were surprised that they had nothing to use that matched other state-level end-of-year assessment tools for core content.

Managing a dual immersion program also means having the ability to counteract the natural effects of attrition so predominant in these types of programs. Natural attrition occurs because it is a closed-entry system; if students move out, or parents decide it isn't for them, numbers begin to drop. Many districts understand this, but some do not. Most districts require a student quota to be maintained. Two-way principals would let native Spanish speakers in, but this rarely happened in one-way schools. In a few instances, principals felt persuaded to allow students into dual immersion in the upper grades. This decision was always made very carefully, after ensuring that the student was motivated and the parents were supportive. Another key

decision by principals was to allow students transferring from another dual immersion program into their school without going through the lottery process.

**Cultural Unifier.** Dual immersion principals have an extra burden when they take on the role of unifying different cultures. This area of focus connects the three related responsibilities of Communication, Ethical & Moral Leadership, and Culture.

Being a Cultural Unifier is a critical component of any dual immersion principal's skill set. This skill implies the ability to understand the political, ethical, social, and moral issues surrounding immersion (Hunt, 2009; Valdes, 1997). Those dual immersion principals who discussed this area of focus talked about respecting differences in culture and tradition, helping alert and educate the public to the beauty of these differences, and sincerely appreciating all types of students. When planning professional development for teachers, Candice (1w) asked herself, "How does this affect my staff? What's appropriate?" For her, being appropriate meant finding topics and leading training that didn't always align with the mainstream. Equally important to these principals was the emphasis they placed on learning core content, while ensuring the preservation of heritage culture and language in the case of two-way programs, and true cultural understanding in one-way programs. However, it was the two-way dual immersion principals that had a more difficult time creating a positive world-view for students from very different cultural backgrounds (Mayes, 2007).

This section has described five key areas of focus for dual immersion principals that are a collapsed model for the findings on the skills and traits of dual immersion principals discovered in this research. In general, all five areas of focus are important for all dual immersion principals. However, it appears that with the area of Cultural Unifier, one-way principals are less likely to say the skills associated with this area of focus are required to operate their dual immersion

schools successfully. Still, with a data set this small, it is difficult to determine if one-way principals use the areas of focus differently than two-way principals. It is also difficult to determine if one area of focus is more or less important than the others. Though these data do provide some support for possible differences, further investigation is needed.

### **Discussion**

The study addressed two research questions. (a) What did dual immersion principals identify as the skills and traits that lead to success in a dual immersion context? (b) What were the differences of opinion, if any, between principals of one-way and two-way dual immersion programs?

In answering the first question, the data revealed that there were 27 skills or traits that the interviewed dual immersion principals mentioned. Of these 27, 17 aligned with the previous research of Marzano et al. (2005), and 4 did not: Affirmation, Contingent Rewards, Discipline, and Relationships. There were also some skills that only a few principals mentioned, which were therefore not included as major findings, such as Trustworthiness, Mothering, and Equality & Fairness. The interviewed principals unanimously discussed 11 skills. After a review of the 27 skills, the researcher was led to consider additional patterns within the skills. This resulted in the identification of five key areas of focus for dual immersion principals. These five focus areas are Immersion Guru, Outside-the-School Thinker, Immersion Proponent, Immersion Overseer, and Cultural Unifier.

When Hellowell (2011) conducted her research to discover whether dual immersion principals saw their immersion programs as first-order or second-order change, 79% of the 46 principals surveyed said it was a first-order change program. In Texas, where the research was conducted, there are a number of bilingual programs. It was Hellowell's belief that without

seeing dual immersion as a second-order or intensive change program—one that requires an extra effort and skills and traits beyond the typical principalship—these administrators would be unable to approach the situation correctly and provide the needed support, and ultimately the program would suffer. If principals are leaders of change, then they can either limit or facilitate that change (Fullan, 2007). Marzano says that a leader's role and responsibilities shift depending on the type of change a leader is implementing. This research indicates that all principals interviewed fully supported each of the skills and traits of second-order change, but they did not support some of the skills of first-order change. This suggests that these immersion principals are approaching their roles in their dual immersion programs correctly.

This research strongly aligns with much of what Marzano revealed in his research. In the five focus areas, we find evidence of his leadership responsibilities throughout. We also see evidence of the second-order change responsibilities in all but one of the focus areas (Cultural Unifier). These findings support the importance of Marzano's 21 leadership responsibilities in general. However, these data also provide evidence that dual immersion tends to resemble, to a larger extent, the 7 refined leadership responsibilities of Marzano, or the idea of a second-order change initiative.

To answer the second research question, the 27 skills and traits were compared according to the percentage of times each skill or trait was mentioned between one-way and two-way principals. The findings indicated that one-way and two-way principals shared the vast majority of skills and traits, but in a few instances these skills and traits were different. In four interviews, two-way principals felt that certain skills were more important than their one-way principal counterparts. Two-way principals had a much more apparent need to understand culture and deal with cultural challenges among their student population, leading them to be more aware of

ethical issues related to their diverse student populations. This carried over into how they communicated with their teachers, staff, and parents. Often, it was necessary for them to speak Spanish to be able to communicate effectively. Both one-way and two-way principals had to create a strong focus in their schools; they did this by helping their dual immersion teachers integrate into the faculty and encouraging their non-dual immersion teachers to collaborate in a PLC. In both cases, these actions helped build a positive school culture, which was required for a successful immersion experience. It was also shown that both one-way and two-way principals were involved with the instruction at their schools, whether it was in evaluating teachers or purchasing materials. However, perhaps because of the language barrier and lack of foreign language teaching experience, more one-way principals relied on others to fulfill this role, whereas two-way principals felt more comfortable talking about specific instructional strategies with teachers themselves.

It seems that the two-way principals' second-language fluency, and in particular language homophily, may have had an impact on these findings. All but one of the principals in the two-way schools knew the immersion language of their school, whereas none of the other principals spoke the school language. At the same time, survey data did not support the need to speak the language, although the majority of the principals interviewed felt it was significant, and clearly this was the case among two-way principals. These results may simply emphasize the importance of using an interview to fully understand the thoughts and feelings of an individual. When asked a direct question about the importance of speaking the immersion language, interview respondents pointed out areas in which the skill would be helpful. However, when asked to rank many skills in a short survey, respondents felt that speaking the language was less important than the other skills they were asked to rank. Another consideration is that the issue of second-

language fluency has less to do with the type of school (one-way vs. two-way) and more to do with the model of the school (strand vs. whole school). This was the case when comparing survey results on the principals' ranking of the importance of a principal's second-language ability. The school model may also have an impact on the skills and traits that were found in this study.

Finally, when we looked at the five focus areas, we again saw that in four of the five areas, one-way and two-way principals were similar. A small difference was evident in the area of Cultural Unifier. This is partly due to the fact that two of the three sub-skills were Communication and Ethical & Moral Leadership, which were mentioned more frequently by two-way principals than one-way principals. The third sub-skill was Culture, which was mentioned by all the principals. In a way, this created synonymous results. It is possible that this fifth area of focus may be more critical for two-way principals, again because of the nature of their schools and the potential need for language homophily; or, it may be based on a whole vs. strand school dynamic.

### **Future Research Recommendations**

A study investigating professional development for principals in greater depth would be helpful. This study could include the gaps of current in-service offerings. As stated, principals' time is limited, and maximizing the professional development they receive is a critical part of the process of becoming an expert in the five key focus areas.

Related to this study on professional development would be a further understanding of how the five areas are connected, and the varying degrees to which the areas are impacted by other factors (principal experience, age of the program, rurality, school language, or whole vs.

strand model). This study would require a larger sample, so that the proportionality of participants could include these additional levels of analysis.

Another possible continuation of this study would be to survey dual immersion principals and have them simply rank the skills and traits found in this research, as well as the five focus areas, to confirm these findings. A study of this kind would help in further categorizing these skills and traits according to specific school-level and principal-level factors, including improving our understanding of the connection between dual immersion and school change. It would be helpful to see if, in other scenarios, the discrepancies in skill selection continue to mimic the 7 second-order change model or the 21 first-order change model, and under what circumstances that occurs within the dual immersion context.

Still another study that would be helpful to this body of research is to follow students through the program and see what dual immersion does to change their worldview. It would be of great interest to proponents of dual immersion to study the long-term impact, whether positive or negative, of dual immersion on students. It would also be helpful to include research on students—native and non-native English speakers—who entered the program late, describing to what extent this created any particular obstacles for them.

## **Conclusion**

Dual immersion schools have become an integral part of the school system in Utah and across America. These language programs play a crucial role in educating the whole student, and prepare our youth to meet the global demands of an increasingly interconnected society. Being able to ascertain the skills and traits of dual immersion school principals and determine how these skills and traits are developed plays a critical role in improving student achievement in these schools. As these schools continue to grow and develop, it will be important for districts

and the state to train and develop dual immersion principals to have the specific sets of skills and traits mentioned in this research in order to maintain successful school programs. Having more American students that can truly function in a second or third language is an exciting prospect, and the principal's role is vital in making that happen. But specialized leadership skills and traits are required if these dual immersion leaders want to ensure success. This research has shown that these skills include learning to be an immersion guru, an outside-the-school thinker, an immersion proponent, an immersion overseer, and a cultural unifier.



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## APPENDIX A: REVIEW OF LITERATURE

**Introduction**

Although many different languages are used in the United States, the truth is that very few students with native-foreign-language abilities continue to study their native language in school (Rosenbusch, 2005). Most give up studying their language, believing it to be an obstacle on the path to English proficiency (Hoffman, 2010; Myers, 2009).

Because of our rich ethnic mix, the United States is home to millions whose first language is not English, yet almost nothing is being done to preserve the language skills we have or to use this rich linguistic resource to train people in the use of a language other than English. (Simon, 1980, p. 4)

Likewise, many native English speakers in America underestimate the advantages that studying a foreign language could provide (Appiarius, 2011). These trends often lead to a misunderstanding or mistrust of minorities (Phillips, 2007; Sung, Padilla, & Silva, 2006).

Those who do participate in foreign language education in America have few choices. Programs are often limited by language, the quality of instruction, availability of elementary and secondary programs, and information on the goals and aims of each type of program and the impact each program would have on the students (Hoffman, 2010; Silver, 2011).

State policymakers, districts, and school administrators need to understand the benefits that come from the study of a foreign language and the various options available to them (Christie, 2007; Donnelly, 1992; Hansen, 2009; Howe, 1967). Compared to Europeans, who report 52% of the population as fluent in a second language, Americans can only report 9% (Stewart, 2009). Outside of the United States, immersion education is quite popular, with Canada being the most often cited example for one-way immersion, and South Africa for two-way

immersion education (England, 2009). However, over the course of American history, the study of foreign languages has rarely been an integral part of public education.

### **Foreign Language Instruction: A Brief History**

Lessow-Hurley (2005) explains that the study of languages has gone on since the ancient world, beginning with the study of Latin in the first century and Greek in the sixth century. The study of Latin and Greek continued for many years until romance languages replaced them.

Dual language immersion schools have also struggled for credibility in our nation's history. At the outset, many papers and documents were published in English and German (Keller & Van Hooft, 1982). In the 19th century, there were several non-English dual immersion schools in only a few states that studied Polish, Italian, German, Swedish, Spanish, French, Dutch, Danish, Czech, and Norwegian (Tyack, 1974). The Indian College of Virginia was created in 1705 to instruct Native American populations (Weinberg, 1977). Unfortunately, the point of these schools wasn't to instruct the student and help them learn their native language, nor were they specifically used for language instruction. Rather, these schools overlooked the native culture of many of these immigrants and served as English instruction institutions (Tyack, 1974).

### **One-way Immersion in Canada**

The initial impetus for immersion education came from Canada's model of one-way immersion instruction in the elementary school (Johnson & Swain, 1997). In the 1960s, a growing French-speaking population in the province of Quebec led many parents to petition their local school board to adopt a total immersion approach to learning French. In these total immersion schools, students learned every subject entirely in French, and students were expected to become proficient in English on their own (Lindholm-Leary, 2001). During the 1970s in

America, similar types of one-way immersion schools began to help English speaking students learn Spanish. Since their inception, schools have expanded to adopt dual immersion as well.

However, America saw a decline in language instruction, both foreign language instruction and immersion instruction, during World War I when the state of Nebraska went so far as to outlaw the instruction of foreign language until the eighth grade. The Supreme Court held that this ruling was unconstitutional (*Meyer v. State of Nebraska*, 1923). Post World War II, this sentiment began to change as military servicemen saw the benefits of learning about lifestyles and cultures different from their own. Then, through the Civil Rights Movement of the '50s and '60s, there was more and more pressure to educate immigrants and give them equal access to knowledge (*Brown v. Board of Education*, 1954).

### **The Bilingual Education Movement**

The Civil Rights Movement's ideals erupted during the Cuban Revolution, when many immigrants fled to Florida and the states were required to make changes in order to teach the students English (Lessow-Hurley, 2005). In 1968 the Title VII of the Elementary and Secondary Education Act (ESEA) was passed. This provision gave money to school districts for the instruction of English language learners with limited English proficiency (Ovando, Collier, & Combs, 1985). As a result, bilingual education grew rapidly. The Ford Foundation, with the help of director Ralph Robinett, created the first bilingual school in 1963 in Miami, Florida. The principal was credited with convincing parents of the value of the school, despite some resentment (Hakuta, 1986). Though only limited to a few students, this was the first step in federal influence over the affairs of language instruction in public schools. This pattern of federal regulations was confirmed by the 1974 U.S. Supreme Court decision that all children must have an equal right and access to education, even if they have a deficiency in English (*Lau v. Nichols*,



1974). The court found that denying these students access to a public education violated the Civil Rights Act of 1964. Still, the federal government, although wanting bilingualism to continue, judged the programs solely on their ability to teach students English (Hakuta, 1986).

Therefore, the federal government allowed bilingualism to thrive, but tied to these programs was still a strong “English-only” attitude (Calderón & Carreon, 2000). In many ways, the Bilingual Education Act served merely as an incentive program for parents and schools—a way of educating the massive influx of Spanish-speaking immigrants. However, the federal law never mandated the enforcement of its policies or required that states implement bilingual programs (Krashen, 1999). As the Bilingual Education Act has evolved, regulations have continued to deal with finding feasible solutions to help English language learners, but that best solution may still be a ways away (Castellanos, 1983; Valdes, 1997). California’s Proposition 227 is one shining example of how some continue to misunderstand the benefits of certain bilingual programs (Stritikus, 2002).

Proposition 227, sponsored by Ron Unz, required all state-funded programs to switch to Structured English Immersion programs “SEI”, which educated non-native English speaking students rapidly in English during a one-year time frame, before they were allowed into mainstream classrooms (Lindholm-Leary, 2001; Ramirez, M., Perez, M., Valdez, G., & Hall, B., 2009). However, the research on the success of these changes is still inconclusive (Ramirez, et al., 2009). The studies that prompted the legislation found that Transitional Bilingual Education “TBE” did not help limited English proficiency students and that these students were not stunted by being placed directly into mainstream English-only classrooms (Baker & de Kanter, 1983; Rossell & Baker, 1996). Still, others have shown that these studies were not designed to factor in the amount of time students needed to really learn a language (Thomas & Collier, 1997; Willig,

1985). In addition, Willig and others note how Rossell & Baker used *vote-counting* as opposed to a *meta-analysis* to make their conclusions (Krashen, 1999). In addition, many of the studies that were re-analyzed neglected to explain in detail the type of bilingual education that was used, since there are clearly differences in their effectiveness or support of these students' first language or L1 (Hakuta & Gould, 1987).

### **The Dual Immersion Movement**

Despite the limiting impact SEI legislation has had on other types of bilingual programs, growth in dual immersion education is increasing. Currently, there are nearly 400 programs in 30 states and the District of Columbia (California is at the top of the list with the most immersion programs), offering dozens of different language immersion options (Center for Applied Linguistics, 2011).

Some of this research has shown that dual immersion education provides a sustainable asset that will improve American business, increase global connections, and ensure that the government has an educated and culturally aware citizenry for defense and economic growth. For non-native English speakers, two-way dual language instruction provides a basic understanding of their native language, which is essential for the mastery of the English language (Cummins, 1992). In addition, it would appear that receiving some equality of instruction is their right and privilege. What the courts and federal and state governments have not made clear is what that instruction entails or if heritage language instruction should be part of that process. Each state determines these questions so differently as well. The fact remains that with a greater understanding of English and their native language, these English language learners would directly benefit from a much more equal access to knowledge. Further, these programs have been able to not only teach the students English rapidly (like SEI programs) but they also teach them

deeper language skills, which leads to longer-term benefits not seen in SEI programs (Lindholm-Leary, 2001). Given this history, principals might expect to be in an environment where some form of immersion education is present or where immersion education could provide an appropriate model for their communities.

### **Foreign Language Instruction: A Utah Perspective**

As has been explained, the study of foreign languages has been seen as an academic pursuit (Einbeck, 2002). It was not until 1958, with the National Defense Education Act (NDEA), and the launch of Sputnik, that leaders realized how understanding foreign languages could assist our military and nation (Figlio, 2004). This was a geopolitical strategy that disassociated schooling from the general aim of expanding the students' horizons to a focus on strengthening the military (Spring, 1980).

### **Foreign Language Study in Utah Schools**

Attitudes in Utah were very similar. Beginning in 1957, all high schools with a total enrollment over 350 were required to offer at least one foreign language as part of their curriculum (Howe, 1966b). This wasn't the case in years previous, when few if any modern world languages were taught in Utah's schools. Also in the 1960s, middle schools and elementary schools began offering more foreign language courses. Deputy Superintendent for Instruction in Utah, Dr. Lerue Winget stated at that time, "In order to assist students in realizing the refinement, the increased insight, and the depth of understanding that knowing a second language can bring, a great deal of thought and energy by teachers, supervisors, and administrators is required" (Howe, 1966b, p. 5). To this end, guides for foreign language instruction at the secondary (FLE) and elementary (FLES) levels were created to assist principals and instructors in initiating these programs (Howe, 1966a). Yet, these foreign language courses

saw language as a separate subject, not as a medium for teaching and learning the core content, like one finds in immersion schools.

### **Immersion in Utah**

It was in the 1980s that Utah first began Spanish immersion schools (Rhodes & Schreibstein, 1983). The first four were in Alpine School District, went from grades 1-5, and incorporated a total immersion approach. All the schools depended on local funding to get going. Today, Utah continues to lead the nation in foreign language education. According to *Time* magazine, Utahans have some access to or knowledge of around 90% of the world's languages, with 60% of the public school students studying foreign language every year in K-12 schools (Donnelly, 1992). The economic development corporation of Utah believes that "Utah's workforce has a rare and unique skill set that no other state in the country can boast. Utah has an unmatched number of bilingual residents of all ages" (Brightwell, 2009). With 17 centers around the world, the Missionary Training Center for the Church of Jesus Christ of Latter-day Saints in Provo, Utah, is very well known for language instruction throughout the world, giving instruction in roughly 50 languages (Missionary Training Center, 2012). In addition, numerous colleges and universities, including Brigham Young University (the campus teaches roughly 80 languages at some point each year) and the University of Utah (17 language programs) are at the forefront of language instruction (Brightwell, 2009).

**Funding for immersion in Utah: A political initiative.** In 2008, Utah lawmakers wrote a bill to expand immersion education in the state, meaning the state wanted to provide top-notch bilingual experiences in Chinese, French, German, Portuguese, and Spanish to thousands of their elementary students. A major portion of this bill is the "Critical Language Program" pilot that

provides funding to ensure that Utah children are acquiring the skills necessary to succeed in an international workplace.

The intent of this appropriation is to increase the number of students who reach proficiency in a critical language as well as build overall foreign language capacity in the state of Utah and to increase the number of biliterate and bilingual students.

(International Education Initiative - Critical Languages Program, 2008)

In an article on the study of Chinese, representative Howard Stephenson stated that there were 3,500 Utah students who were learning Mandarin (2009), and that by 2010 there were 6,000 (Stewart, 2009). In 2011, there were 57 dual immersion programs throughout the state, with Spanish being the most common (31), but there are also 17 Chinese programs, 9 French, and Portuguese will be offered beginning in 2012 (Roberts, 2011). The governor of Utah wanted to increase the current number of immersion students (7,000 in 2011 to nearly 30,000 by 2015 (Stuart, 2010). This indicates a large amount of growth since the first Spanish immersion program began in Utah in the 1980s. Due in large part to these political initiatives, dual immersion in Utah has been able to thrive. By the 2014 school year, there will be 116 schools involved, and 25,000 students enrolled (<http://utahimmersion.org/>).

### **Utah's Dual Immersion Model**

The majority of dual immersion schools have adopted a two-teacher model. This involves one teacher who speaks the foreign language and another who speaks English exclusively, as opposed to having one teacher do both. This is effective, but it is also the cheapest solution to adopting immersion without increasing Full-Time Teacher Equivalent "FTE" numbers. Most often in Utah, students and their parents are placed in a lottery to participate. The students begin in kindergarten or first grade. Through grade three students learn to read in the foreign language,

until a shift occurs in fourth grade with both math and social studies, when students start to read to learn, instead of learning to read. If students continue with the program, there will be support for them at the middle and high schools as well, and students can potentially graduate high school only two courses short of a minor in a foreign language (Roberts, 2011). All schools and principals who adopt the state's model of dual immersion adhere to these policies.

Because of the rapid growth, there are not enough teachers to serve the number of schools now providing immersion programs. To help accommodate and build the programs, many of the teachers are coming from other countries (Hansen, 2009). Utah has hired around 50 International Guest Teachers with J1 visas to come and teach in a dual immersion school. These teachers can stay for three years, but many stay for just one year. Local universities are working hard to train and prepare their own teachers for these programs as well.

Considering these growth trends in dual immersion schools, it seems necessary that principals understand and be trained to sustain this type of program. Of all the states with dual immersion programs, Utah seems to be growing fastest; for example, Utah's public schools have the highest percentage of public school students in the nation studying Mandarin at present (Stuart, 2010). These students are expected to learn the core curriculum through the medium of a second language and pass end-of-year proficiency tests in math and language arts, and schools must do this with no increase in budget. This is a demanding situation, and principals of these schools should be prepared to meet the challenges they face to staff these schools and create an environment of success for these students. In terms of the considerations that must be met, one critical concern may be that principals would need to work with parents from language-majority and language-minority students, all of which might have very different feelings and theories about what immersion is and how it would help their students. There could be backlash from

those varied opinions, and the principal would need to be able to build support for the program and explain why certain things are done in a particular way, dealing with everyone's differing mindsets.

### **Theories of Second Language Acquisition**

While understanding the importance of immersion education is one thing, understanding the complex issues behind language instruction is quite another. If more policymakers, districts, and administrators understood the theories of second language acquisition (SLA) and learning, it would be easier to understand the success of dual immersion within elementary schools (Fillmore & Snow, 2000; Hamayan, 1990). Furthermore, principals of these schools ought to be able to understand the various theories that go into a successful language immersion classroom. Unfortunately, the acquisition of a second language is a complex task, which requires a considerable amount of study to understand (Gass & Selinker, 2001). However, with time spent researching, principals can begin to understand these theories, develop their own personal views of these models and theories, and then learn how to lead teachers to perform their roles successfully in these types of schools (Met & Lorenz, 1997).

Current theories of second language acquisition are based on years of research in a wide variety of fields, including linguistics, psychology, sociology, anthropology, and neurolinguistics (Freeman & Freeman, 2001). Many of these theories come from the study of how people learn their first language. Although there are many unknown concepts out there regarding how one learns a second language, many parts of the process are widely accepted in scientific research on language learning. This section will briefly discuss some of the theories that form the basis for immersion instruction.

### **Mental Cognition and Foreign Language Learning**

According to Hakuta and Gould (1987), language is a complicated set of abilities that cannot be measured with a single test. Not only is this clear, but research has also shown that classroom language is not the same thing as the language used for conversation (Harley, Allen, Cummins, & Swain, 1990).

The mental task of processing and attending to a signal (listening) and then to access conceptual and pragmatic knowledge to return a message (speaking) is referred to as cognitive load or processing load (Charest & Johnston, 2011). Though some who study language acquisition no longer believe cognitive load impairs learning, some in the public may still believe that cognitive load may be possible, or that a student who is learning two languages at once would be cognitively burdened such that his or her learning would be affected in some way (Fehringer & Fry, 2007). The belief is that the mental load will exceed the child's mental resources (Arsenian, 1937). To test this, researchers would ask participants to perform a task, such as speaking, and then they were directed simultaneously to perform a secondary task, such as walking, or focusing on an object. When a secondary task was introduced, the language production was always affected—utterances were reduced, and errors occurred (Hartsuiker & Barkhuysen, 2006; Kemper, McDowd, Pohl, Herman, & Jackson, 2006). Similar capacity issues occurred when simple tasks were pushed to more advanced tasks (Goldrick, 2007). Though this theory was pivotal at the time, current research has shown how this same phenomenon does not occur when using two languages (Lessow-Hurley, 2005). Now, instead of seeing language as a burden, research has shown how adding cognitive-load tasks actually creates more and more brain connections, which can free up some of the mental load, making it easier to process lexical and syntactic items; or, in other words, the child is able to produce language without undue



mental burden (Pickering & Ferreira, 2008; Wheeldon & Smith, 2003). Therefore, researchers tend to see the study of a foreign language as a cognitive plus instead of a deficit to working memory (Bialystok, 2006). The additive vs. subtractive view is key to helping understanding all the issues regarding multicultural education (Mayes, 2007).

**Academic advantages of immersion.** One area where there is some evidence of the academic advantages of immersion occurs in the comparison of dual immersion students and non-immersion or traditional students on grade-level assessments (Krashen, 1999). Peal & Lambert (1962) found that bilinguals outperformed the monolingual control on both verbal and nonverbal intelligence tests. Further studies have explained that problem-solving skills increased because of exposure to foreign language study at an early age (Hakuta, 1986). In addition, researchers believe that any processing problems that occur in the “second language or L2 tend to occur in L1 language as well and that they are not the result of schooling (Fehringer & Fry, 2007). Consistent with this, research has shown that bilinguals are capable of performing equally well with monolinguals on working memory tasks and better on executive control tasks (Bialystok, Craik, & Luk, 2008).

### **Language Transfer: A Case for L2 Literacy**

The study of how the first language affects the study of a second language is referred to as language transfer (Gass & Selinker, 2001). This broad area of research is linked to varying beliefs about how language is acquired. For instance, in the early research on the subject, behaviorists believed language was linked to habits and stimuli. Consistent with this belief, they developed the contrastive analysis hypothesis, or CAH. According to this behaviorist theory, an L1 speaker will have an easier time acquiring an L2 that is similar linguistically speaking, than if there are great differences in structure. As a result of this theory, educators and curriculum

designers were told to focus on the differences and ignore the similarities when instructing students about a particular foreign language (Lado, 1957). However, as behaviorist views regarding language learning were discarded, research showed this is not always the case, and that there are numerous other factors in addition to the native language that might lead to transfer (Lightbown & Spada, 2006). Further along, Error Analysis gave added insights into how language transfer occurs (Corder, 1967); however, its primacy as the major theory of language acquisition has been superseded by current research that focuses on interaction as a key factor in transfer (Klein & Perdue, 1993). However, what current research does support is that language transfer is beneficial for second language learning (Ramsay, 1980).

One area where this is the case is with reading and writing in the language. Literacy in the first or native language impacts literacy in the subsequent language that is learned (August & Shanahan, 2006). As SLA relates heavily to cognitive branches of science, one cannot separate what occurs in the mind from the output (what is spoken or written) by the individual (Bialystok, et al., 2008). Ultimately, the input one receives determines what an individual can do with a language (Lessow-Hurley, 2005). In other words, and this is especially true of syntax and vocabulary, a learner cannot produce native-like speech in a foreign language until they have acquired similar forms and structures in their first language (Krashen, 1982). Further definitions of literacy show that learners can transfer encoding and decoding skills such as pre-reading skills, sequencing, and written symbol understanding (Chu-Chang, 1981). Other skills, such as experimenting, hypothesizing, and constructing meaning can also transfer (Hudelson, 1987). Troike found that bilingual instruction was more effective than English-only instruction in teaching these transferable English skills (Mace-Matluck, 1982).

**Benefits of Input in the Immersion Context**

One reason immersion works better than a traditional foreign language class is that the students receive a high amount of input (Long, 1981). Krashen proposed a theory called input hypothesis that breaks second language acquisition down into five hypotheses. The first two, the acquisition-learning hypothesis and the monitor hypothesis, are related to this discussion on transfer. Acquisition refers to the process of acquiring language subconsciously, like children. Krashen believes this occurs through normal conversation as a learner naturally speaks and communicates. Learning is conversely a focus on forms. With time, a learner will learn a language, but Krashen states that this type of formal learning—talking about language—is less helpful or important. The monitor hypothesis ties the two parts together. As a student is acquiring language they might switch on a monitor, thereby focusing on form, and this allows a learner to go from simple utterances to polished speech. It is noted, however, that the monitor should only be used minimally, or it thwarts the natural language learning process (Krashen, 1981). This and other theories tend to support the immersion style of language learning in elementary schools for multiple reasons. The most common reason is that language learning transfers to other subject areas (Turnbull, Hart, & Lapkin, 2003). Connected to Krashen's research is the assertion that immersion-style methodological practices allow students to interact with language naturally, with less focus on form or instruction about language (Met & Lorenz, 1997).

**Rights to Quality Language Instruction**

In numerous articles, Touve Skutnab-Kangas (2008) mentions the benefits of bilingual education. Her main point is that all children are entitled to linguistic rights, with education in their mother tongue being central among those rights. Access to education encounters linguistic,

pedagogical, and psychological barriers. In her opinion, Touve believes that denying children the right to have an education in their native language not only goes against current theory and research, it also denies the parents' right to "intergenerational transmission" of values. Although some would support her beliefs (Rawls, 1971), not all consider language to be a right (Nozick, 1974).

In addition to these findings on language rights, it was also shown that the students were able to transfer literacy from their native language, allowing these Swedish late-arriving students to outperform their early-arriving counterparts (Toukoma & Skutnabb-Kangas, 1976). This important research helps to qualify not only the tangible benefits of language transfer but also the neglected social and cultural aspects of language transfer as well.

Cummins explained in his Common Underlying Proficiency (CUP) model that skills, knowledge, and concepts learned in any language can be accessed through a different language (1981). As more advanced definitions of literacy are used, this is still the case (Weinstein, 1984). Considering statistics of Americans who cannot read or write—especially among immigrant populations—bilingual education, including dual immersion, serves as an important step in overcoming this divide (Roberts, 1994). Several studies have already shown this to be the case (e.g., Howard, Christian, & Genesee, 2004; Kiston, Fletcher, & Kearney, 2007; Lindholm-Leary, 2000; Ro, 2010).

**The home environment influences language rights.** However, opponents of dual immersion feel that literacy can be learned at home. This is illustrated in the following quotation: "Homes where children have access to time alone with adults, where literacy is modeled, displayed, and valued, and where parents emphasize learning and school achievement typically produce children who have little difficulty learning to read" (Hakuta & Gould, 1987, p. 42). This

is often the case in one-way immersion programs, where instruction is totally in the L2, and L1 maintenance happens at home (Bernacki Jonk, 2009; Duff, 1995; Netten & Germain, 2009). Unfortunately, statistics on literacy by native and non-native speakers of English reveal that adequate L1 language support from families is rare and therefore schools are being forced to fill in the gaps (Brydon, 2010; Roberts, 1994; Weinstein, 1984). For instance, research has shown that the average Hispanic family only has a dozen or so books at home, and limited quantities in libraries, making it even harder for these students to gain literacy outside of school in their first language or in English (Pucci, 1994; Ramirez, Yuen, & Ramey, 1991). These studies help to explain why schools cannot rely solely on parents to develop language-minority students' lexicon to the level of language-majority students. The school must be able to reinforce first- and second-language skills to help these English language learners succeed.

Similarly, research has validated the point that reading in both languages is required to support and bolster literacy in English (Snow, 1986). There are numerous other examples within the research to support these conclusions (e.g., Christian, 1996; Cohen & Swain, 1976; Gal, 1979; Lindholm-Leary, 2000; Valdes, 1997).

### **Stages of Acquisition: What Immersion Students Should Expect**

Krashen and Terrell (1983) first introduced the theory of stages of acquisition. According to their theory, every learner who studies a foreign language will pass through the same stages of acquisition, though not all will do so at the same rate. Stage one is the pre-production phase or silent period. In this stage, learners focus on input in large amounts, which is repeated. After the receptive vocabulary is sufficiently large, learners begin stage two, early production. In this stage, speech is slow, predictable, and often memorized. The next stage is speech emergence, where learners begin to speak at the sentence level. Stage four is intermediate fluency, still

characterized by many errors, but with a much larger vocabulary and a greater understanding of complex speech and writing samples. The last stage is advanced fluency, which can require anywhere from four to ten years to achieve. However, even at this stage the best a second language learner can hope for is “near-native-like” fluency in some aspects of the foreign tongue.

**Time is needed for L2 proficiency.** Krashen’s theory leads us to understand that language acquisition takes time and planning. Many parents and program managers limit the amount of time of study, perhaps because a basic level of understanding is all they deem necessary. Or it may appear that the student speaks very well. This is why Structured English Immersion was passed in some states, and why Baker and de Kanter (1983) and others were able to show the benefits of rapid English instruction over TBE or Maintenance Bilingual Education “MBE” programs. But one cannot discount the research done on basic interpersonal communication skills (BICS) and cognitive academic language proficiency (CALP), first introduced by Jim Cummins, professor at the Ontario Institute for Studies in Education at the University of Toronto. This research showed that BICS only requires two to five years, but to obtain CALP one needs anywhere from four to seven years (Cummins, 1981). Interruptions in the process, because programs only go through level one or two, or having gaps in the learning process only furthers the fossilization of improper language practices and extends the length of time required to master native-like fluency (Selinker & Lakshamanan, 1992). Age and length of time are therefore connected elements of foreign language study. In short, learning to speak like a native does not mean that students can reason, process, read, or compete with natives when the context becomes more rigorous and higher functions of language are demanded of the individual (Charest & Johnston, 2011).

Many individuals may be convinced that further language instruction is not essential for immigrants because the majority of these language-minority students who come to America are able to mask any differentiating phonologies between their native language and that of the local dialect (Lindholm-Leary, 2001). However, even though these students sound native in terms of their phonology and talk like a native speaker of English, their end-of-level test scores reveal strong deficiencies in writing especially (Harley, et al., 1990). The fact that immigrants can speak unaccented English in a year or two should not be a reason to mainstream these students. It is an indication, however, of why English speakers should be learning foreign languages at an early age, so as to increase their ability of sounding native-like. Yet, even for these students it would be unlikely that parents, after sending their English speaking students to a Chinese class for two years, would assume that they had learned everything necessary to function in China. The same is true for these immigrant children. It is highly unlikely that they are able to function on every level in English either, and won't reach that point without continued exposure to and instruction in academically challenging material in their native language, based on these research findings (Cummins, 1992; Ma, 2010; Skutnabb-Kangas, 2008).

**Support for taking time is proven by academic achievement.** Looking at the level of attainment or the achievement levels of children, one can see varying degrees of success. One report of six schools in California looking at the Academic Performance Index (API) found that Hispanic API is increasing from year to year, and the gap between school-wide API and Hispanic API is decreasing because of bilingual education (Gold, 2006). In another report in Arizona, reading, math, and Spanish proficiency was higher for students in bilingual programs (Medina, 1993). Again, in Utah, non-native students attending bilingual schools or dual immersion schools tested on speaking in English outperformed those in traditional programs

(Graham & Brown, 1996). Noted was the fact that the relationships between native and non-native students in the bilingual programs influenced these results.

These studies help to illustrate an important point, which is that becoming proficient in a second language takes time. Sadly, some states have limited the number of years students can learn their native language. New York's school system reported that only 14% of all their non-native English speaking students were still in the second-language classroom after six years becoming proficient in their native language. This was far less for those non-native students who spoke, but needed reinforcement in Korean, Chinese, and Russian (Krashen, 2001). In fact, research shows that in the majority of cases, non-native students return to the monolingual English speaking classroom after just three years of support in their native language (Estrada, 2010; Montecel & Cortez, 2002). Again, considering the work of Cummins (1981), not allowing non-native English speakers to acquire cognitive language may bring continued difficulties for these youth, and will not help immigrants become truly proficient in their native language, thereby limiting them in English abilities. Furthermore, in light of the inherent differences between the needs of one-way and two-way immersion programs, it is essential that principals fully understand how to develop both groups. Principals must consider ways to help parents and students continue in these programs for their entire elementary experience, thus improving the chances of their retention and mastery of the foreign language. Policies regarding admittance and continuation should be part of those items discussed.

### **A Critical Period: Why Immersion Works**

A common belief that children learn languages better than adults, or that children are more likely to attain mastery of a language than adults is referred to as the critical period hypothesis, or sensitive period hypothesis (Gass & Selinker, 2001). This theory is often cited



with first language studies, but can equally be applied to second language learners. The idea is that brain plasticity reduces with age, and that the extent to which one can master a foreign language and the speed with which one can learn also reduce with age (Chomsky, 1972; McNeil, 1970). Typically, the cut off is at puberty (Lenneberg, 1967; Penfield & Roberts, 1959). Another reason for the fossilization of language is the lack of motivation often exhibited in adult language learners (Guiora, Beit-Hallahmi, & Brannon, 1972). Guiora et al. similarly report that the adult's inhibitions to change their identity might be another reason for their stereotypical fossilized accent.

In terms of the speed of learning a language, this is often not the case. Adult learners tend to learn language faster at the early stages of acquisition; however, children catch up, and regarding phonological attainment, they are able to far exceed adults (Larson-Freeman, 1997). In any case, age-related factors are still questioned, and there exist numerous explanations for why adults seem unable to pick up languages to the extent that children can (Long, 1981).

Though some advanced adult learners can reach native-like proficiency in a foreign language (Bongaerts, van Summeren, Planken, & Schils, 1999), the trend is towards those youth under the age of eight years old attaining native-like proficiency. After that, it is rare that one can master native-like proficiency with certain grammatical structures and most definitely with accent (Penfield, 1953; Pinker, 1994). Thus, a drive towards beginning foreign language instruction early is generally recommended in order to avoid certain setbacks and increase the literacy of these individuals.

The major opponents to the bilingual movement are English-only advocates who often cite the critical period hypothesis as well (Porter, 1998). One of the most common arguments is that learning English intensively at an early stage is the most important thing to do to ensure

mastery of English long-term (Hoffman, 2010; Myers, 2009). However, it would appear that these theories do not always explain every aspect appropriately—that physiological, cognitive, and social factors do account for a decline in age, but that generally speaking, research may not support the critical period hypothesis (Hakuta, 2001). In fact, others have found that students learning a second language in seventh grade have three times the advantage over someone in first grade (Genesee, 1981; Snow & Hoefnagel-Hohle, 1977). That being the case, research must continue to determine to what extent language is biologically impaired after puberty. At any rate, most researchers generally agree that both early and late learners can succeed if their native language is sufficiently developed, regardless of a critical period (Lindholm-Leary, 2001).

Those who support it, or the majority of cases that support the critical period, support the idea that learning a language early does lead to better fluidity in the language in adulthood with pronunciation and grammar (DeKeyser, 2000). Following this theory, the Critical Period Hypothesis “CPH” would appear to evoke only advantages for early language study, making programs like dual immersion a more favorable choice than typical secondary foreign language programs.

### **Types of Immersion**

Though a discussion of immersion has been included in the introduction of this paper, further clarification should be noted between dual immersion classrooms themselves. Among these, several types or models exist. These variations occur within immersion based on (a) the amount of time the L2 is used, (b) the percentage of students who enroll who have competency in one of the languages, and (c) the curriculum choices and teacher choices.

**One-way Immersion**

One-way or total immersion programs started in Canada in the 1960s and then began in the United States in the 1970s (Campbell, 1984; Lambert & Tucker, 1972). Research has shown that total immersion is successful in its mission, which is to teach students another language in addition to English, to obtain cultural awareness, and to attain high levels of academic achievement in other subject areas (Curtain & Pesola, 1988; Genesee, 1987; Swain, 1984, 1995). For these programs to work, students begin early, and teachers teach content in the target language throughout the entire school day, continuing through middle school or high school. These programs are for native English-speakers only. Some states may call these programs “dual immersion”; however, this is a loosely applied term that is not accurate. These types of schools are also referred to in research as *one-way immersion* schools, which is the term adopted in this paper (Met & Lorenz, 1997; Swain, 1978). There can be one-way immersion schools that don’t follow the full designation, but rather instruct only part of the time in the L2. To be designated as partial immersion, there is typically a 50% split between instruction in L2 and L1 at all grade levels, although many total immersion programs claim to have 100% instruction in the L2 at most grade levels. Curriculum choices about when to begin literacy or how to divide students can further affect the flavor of each particular program.

**Two-way Immersion**

Two-way, bilingual, or dual immersion programs began in an effort to bring two dominant language groups together that existed in proximity within a given school district (Valdes, 1997). Building off of the accomplishments of immersion programs, dual language programs also saw much success in the United States (Lindholm-Leary & Gavlek, 1994). These programs are often characterized as 90/10 or 50/50 programs as well (Table 7). In two-way

immersion schools, the student population consists of majority-language speakers and minority-language speakers with dominance in their first language and home language support for the L1 (e.g., Spanish-dominant students whose parents use primarily Spanish in the home, and English-dominant students from English speaking homes). For these students, an academically challenging learning environment is provided to bring children from two different language groups together to learn from and with each other in an integrated setting. Also, instruction through the minority language is viewed as an enrichment experience for all, not as a remedial or compensatory education for the language-minority students in the program.

Table 7

*Directory of Language Immersion Programs in US Schools, 2011*

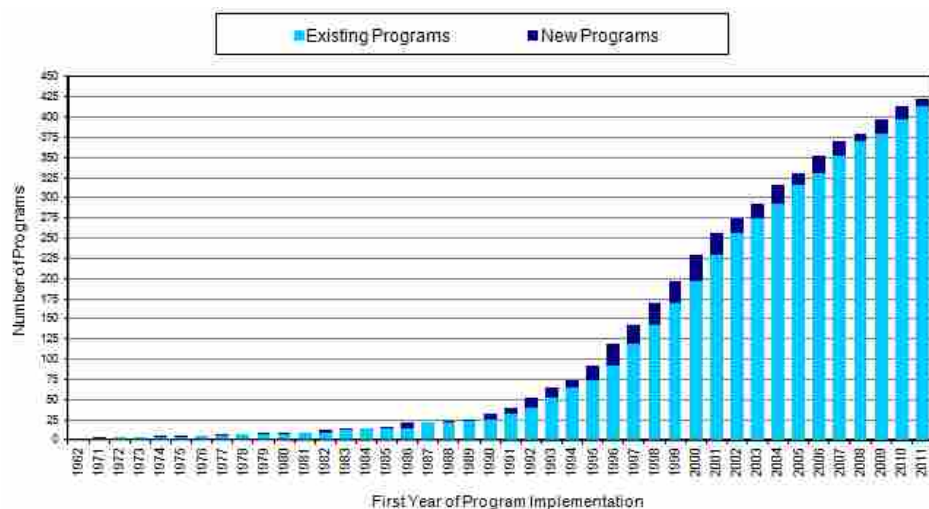
Type	One-way immersion	Two-way immersion
Total States	38	38
Total School Districts	151	211
Total Private Schools	79	0
Pre-Schools	97	0
Elementary Schools	337	330
Middle Schools	128	41
High Schools	41	13
All Schools	<b>448</b>	<b>384</b>

Note. The one-way directory can be found at: <http://www.cal.org/resources/immersion/>. The two-way directory can be found at: <http://www.cal.org/twi/directory>.

Often, these programs seek to obtain an equal distribution of language-minority and language-majority students into each class so as to ensure both groups can assist each other and one language doesn't dominate. A similar ratio is usually expected of time split studying the two languages, though in some schools, the foreign language is used more often in the beginning grades. Unlike total immersion programs, dual immersion programs never strive to have 100% of the subject matter being taught in the foreign language. Further differences in these programs occur in how that ratio is met. For some, a language shift occurs daily, for others weekly, or even longer. In other cases, it is the subject matter that determines what the language of instruction

will be; math is in Spanish and science is in English. Finally, there are self-contained or side-by-side teacher models. Self-contained programs use one teacher to instruct one group of students in both languages. Side-by-side models instruct two or more groups of students, with each teacher using his or her own dominant language exclusively.

The Center for Applied Linguistics, or CAL, has collected data on one-way and two-way immersion schools for the past 30 years throughout the United States. The CAL data shows the number of one-way immersion programs in U.S. Schools in 2011. The languages of instruction vary from state to state, but the top three are Spanish (45.3%), French (21.6%) and Mandarin Chinese (13.4%). Again, these are schools that instruct English speakers only. In terms of two-way immersion programs, CAL reported 211 total districts, and 384 schools offering these types of programs in 2011. In terms of language of instruction, Spanish/English tops the list (93.2%), followed by Mandarin/English (0.02%), and then Korean/English (0.01%).



Source: Directory of Two-Way Immersion Programs in the United States. Available at <http://www.cal.org/twi/directory>.

*Figure 1.* Growth of DLI programs, 1962-Present. From CAL's Growth of TWI Programs, <http://www.cal.org/twi/directory/twigrow.htm>. Chart reprinted with permission from the Center for Applied Linguistics (Appendix G).

### **Social Factors Influencing Immersion**

While much of the research on dual immersion is very positive, there is one piece of research that cautions about the misuse of two-way immersion programs in particular. Valdés (1997) indicates two general types of immersion educators:

(1) Bilingual educators who are primarily concerned about the education of minority students and who see two-way bilingual education as a means of providing quality education for immigrants, and (2) foreign-language educators who, while concerned about minority children, are mostly interested in developing second-language proficiencies in mainstream American children. (p. 395)

In other words, one type of teacher often focuses on the English speaking mainstream students and another type of teacher often neglects the non-native student and the longstanding racial and societal tensions they face. Sadly such a belief would keep students from these programs that can provide equal access to bilingual jobs and a better future for these students (Feinberg, 1999).

Valdés argues that those programs that neglect the immigrant and the complex nature of these students and simply assume that they will solve all these problems are wrong. The immigrants do not need watered-down versions of their native language, but consistent quality exposure to language and an environment that appreciates and fights for the legitimacy of their native language and culture.

Other researchers have linked this phenomenon to the status of the language: lower status languages are not stressed to the degree that the dominant language is stressed (Portes & Hao, 1998). For this reason, many bilingual or dual immersion programs actually focus more on the minority language in the beginning stages using a 90:10 ratio, and move to more of a 50:50 ratio in the middle grades. Not surprisingly, this practice has been shown to actually improve the

overall literacy of non-native English speakers in both English and their native language over those who just have instruction in English (Lindholm-Leary & Borsato, 2006; Willig, 1985). Underlying these findings is the support of native-language literacy, regardless of the students we are discussing (Escamilla, 1994; Howard et al., 2007; Lindholm-Leary, 2001). Most noticeably, one finds that these programs are the most successful when the larger community encourages and supports the instruction and use of both the dominant and minority languages (Escamilla, 1994).

Though numerous languages exist in immersion programs, Spanish is often the secondary language in these schools. Multiple researchers seem to have found how the asymmetric relationship between English and Spanish causes Spanish speakers to want to assimilate and lose their Spanish and become English speakers (Eriksen, 1992). It is difficult to shift the mental view of the heritage language from just a bridge to English to a critical and important part of our society at large and a critical language to know for both native and non-native speakers of English. Escamilla (1994) stresses that to do so requires a focus that goes far beyond the classroom walls. Torres-Guzmán (2009) believes school leaders that focus on language and culture will have a profound influence on helping English Language Learners “ELLs” succeed. Theoharis (2007) concludes that transformative leadership begins with leadership for social justice. School leaders could benefit from understanding these delicate social factors and the risks or rewards associated with the types of instruction the students receive (Suttmiller & Gonzalez, 2006).

### **Summary of Literature on Immersion**

When considering how to make all immersion programs successful, there are many guiding principles that have been developed to help principals sort out all of these complex

issues that have been discussed (Howard, et al., 2007; Met, 1987). What all of these frameworks have in common is that they highlight the importance of the school leader to instruct parents, teachers, and other district officials about what is essential to maintaining and helping their programs (Barth, 1990; Cherian & Daniel, 2008; Hellowell, 2011; Walliser, 2009). This section has begun to discuss some of the research on the duties and requirements of principals. Support and advocacy were among their primary responsibilities (Met & Lorenz, 1997). However, to be able to support these programs would require that the principal have the experience, training, and practical understanding of how language acquisition works, and how to best lead teachers in performing their roles to help all their students succeed. Unfortunately, many principals may not receive this type of instruction ever, or if they do it may not be sufficient to help them meet the expectations of their job (Hellowell, 2011). These challenges will be discussed further in the sections that follow.

### **Leadership Theories**

Leadership has been explored over many years, and the theories regarding leadership have had to change to meet the new insights of researchers as well as with the new demands placed on schools. Many of these theories have some connection to the educational setting, although most of the theories began by looking at business management or in an effort to train military officers. These theories will now be explored in some detail, along with their models and frameworks, in an effort to connect these theories to the current research dealing with dual immersion elementary principals.

In addition, a review of what research identifies as the skills, traits, behaviors, and responsibilities leaders should possess will be explored. This will help to clarify and explain concepts or descriptors of these terms (Rammer, 2007). Finally, a summary of current research

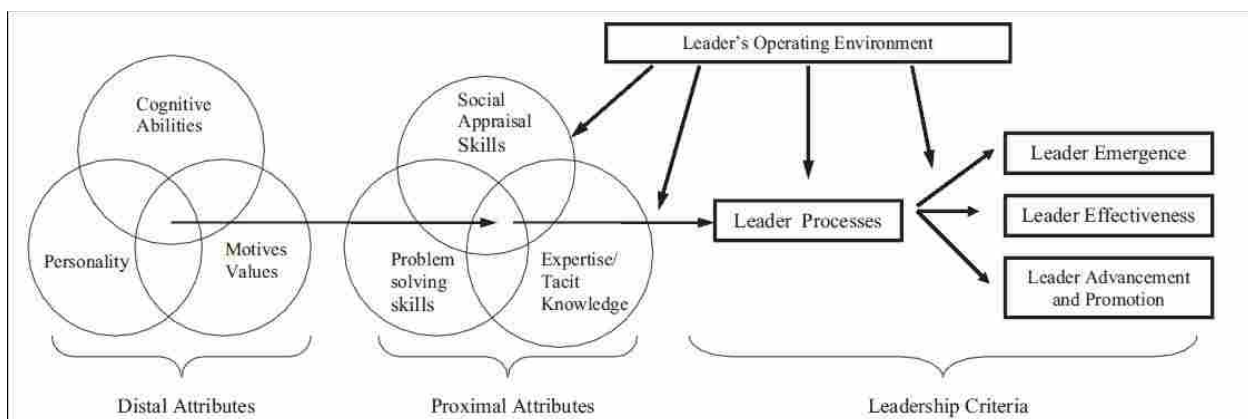


on principal professional development will be reviewed to help understand and answer what current research has shown principals are gaining from these practices.

### Naturalistic Leadership Theories

Trait theory, as it originally began, sought to identify leaders from non-leaders. This occurred in an attempt to see to what extent a leader had a positive or negative influence on a group of followers (Derue, D. S., Nahrgang, J. D., Wellman, N. E. D., & Humphrey, S. E., 2011). According to trait theory, you are either born a leader or not; you either have a specific set of traits that allow you to lead or you do not (Galton, 1869).

Opponents to this theory feel that the study of traits has allowed researchers to identify lists of traits, but that with advancements in conceptual mapping, more needs to be done to show how groups of traits can influence leadership potential (Zaccaro, 2007). “Leadership represents complex patterns of behavior, likely explained, in part, by multiple leader attributes and trait approaches to leadership need to reflect this reality” (p. 6). Specifically, Zaccaro found that certain traits tend to be more proximal, like problem-solving, and others more distal, like personality, in terms of their impact on leadership processes and performance (Figure 2).



*Figure 2.* Zaccaro’s Trait Leadership Model. Model reprinted with permission from authors (Zaccaro & Banks, 2004).

Another important finding of Zaccaro and his team was that the variance of leadership traits depended greatly on the situations in which leaders were exposed. This helps to alleviate what other opponents said was one of the major problems with trait theory, which is that leaders are not leaders in every situation (Stogdill, 1948).

The skills approach also identifies leadership characteristics. Katz identified three skills necessary for management. These include the human, conceptual, and technical skills (Katz, 1974). Like trait theory, the skills approach focuses on the leader. However, unlike trait theory, skills are what a leader can accomplish as opposed to who the leader is (Northouse, 2009). Technical skills are the ability to understand and explain activities that involve a method or process to work. Technical skills require analytic ability and specialized knowledge. Human skills are required to manage the group. This is the ability to create cooperation, to understand others, to explain and teach, to listen, and build relationships with others. Finally, conceptual skill is linked with having a vision of the greater community and how it connects to your business, and how each part and each person works together. It is the skill to see how changes in one area will affect others. It is also the ability to work with ideas and concepts abstractly. Katz also recognized that the three skill areas changed depending on where you work and what your position is (1974).

Skills theory has continued to be studied and adapt. More recently, Mumford and a group of researchers worked to create a new model of skill development for leadership (Mumford, Marks, Connelly, Zaccaro, & Reiter-Palmon, 2000). This model incorporates five components: individual attributes, competencies, leadership outcomes, career experiences, and environmental influences. This model is interesting because it incorporates an element of time into the process. Mumford and his colleagues believe that it might require up to 20 years to reach the highest level

of skill development. They also discuss how skills used or unused at the early part of a leader’s career will change over the duration of a career in leadership. The study of leadership skills for them is inherently focused on training and developing leadership over time (Mumford, Zaccaro, et al., 2000). Another important contribution this model adds is that certain elements are outside of the leader’s locus of control (Figure 3). These environmental factors can challenge leaders to be flexible and adapt to new situations (Northouse, 2009). It is important to note that these studies were conducted with military personnel. Also, the skills approach is more general, allowing leadership to be attained by all, not just a select few. In addition, the skills have not all been predictive of good leadership, and further research is needed to confirm their validity (Northouse, 2009).

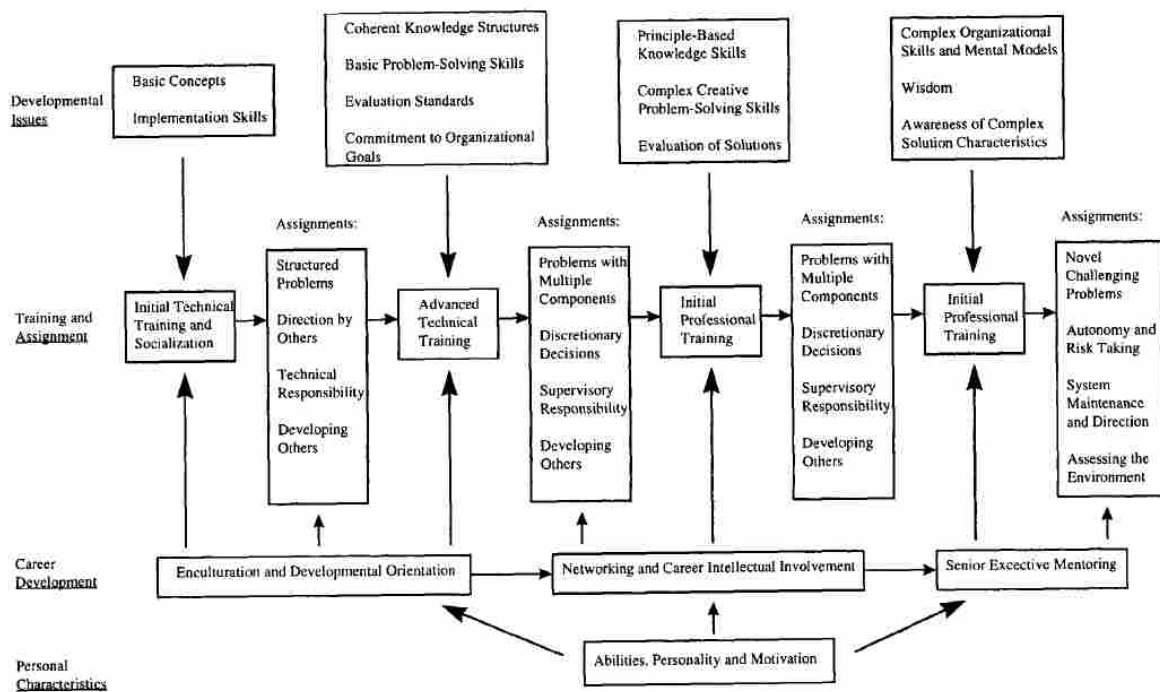


Figure 3. Mumford et al.’s Skill Development Model. Reprinted with permission from authors (Mumford, Marks, et al., 2000).

Current research on trait theory has tried to find a way to conceptually show how groups of traits relate to leadership effectiveness. Currently, as a way to bridge behavioral studies with

trait theory, researchers have derived a model that shows the relationship between effectiveness and leadership traits (Derue, et al., 2011). In Derue's model, certain traits and characteristics lead to leader behaviors and associations, which then lead to leadership effectiveness (Figure 4). Therefore, his model concisely connects traits, behaviors, and effectiveness. This model represents the current trend in research, which is a conceptual blend of old and new ideas.

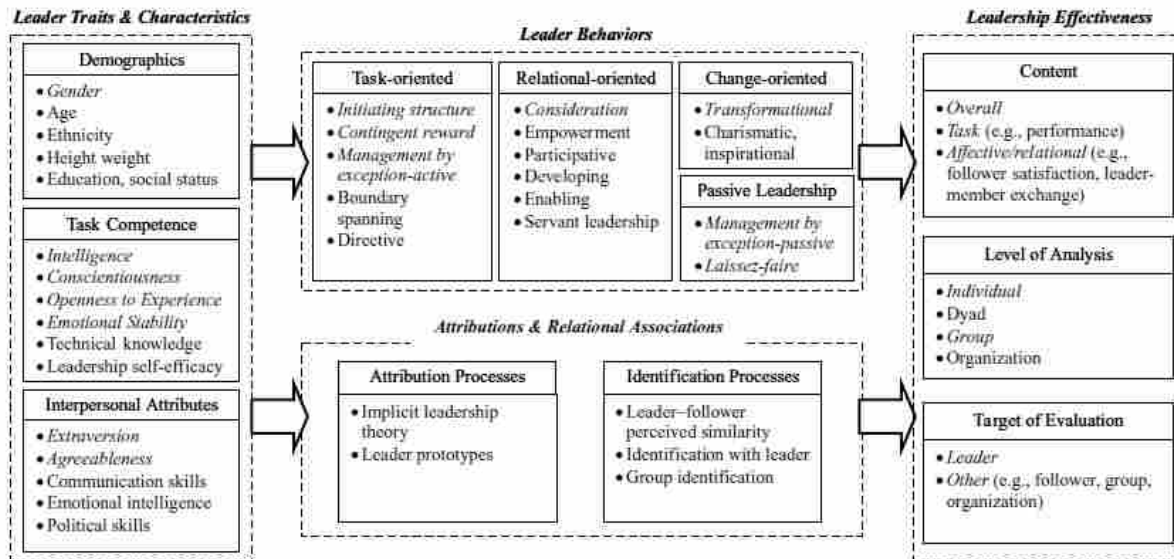


Figure 4. Derue's Integrated Model of Leader Traits, Behaviors, and Effectiveness. Reprinted with permission from the author (Derue, et al., 2011).

### Functional or Behavioral Leadership Theories

Functional leadership, unlike trait theory, tends to focus on what leaders do. With functional leadership, the idea of leadership development is born. Leaders are not born, but are made (Daft, 1983). By studying other successful leaders, new leaders can be taught and grown. John Adair said that there are three elements: task, team, and individual. By balancing the three elements, a group of people can work to achieve the same goal (1973). Functional leadership is different from trait and skill approaches, because instead of focusing on the leader specifically, it includes the aspect of team leadership (Northouse, 2009).

Current research on functional leadership identifies five broad functions that a leader performs to be an effective leader. These are environmental monitoring, organizing subordinate activities, teaching and coaching subordinates, motivating others, and intervening actively in the group's work (Zaccaro & Klimoski, 2002). Using specific behaviors, a leader is then able to accomplish one of the five functions.

Another key aspect of functional leadership is the emphasis it places on what leadership is, not necessarily who does it. Therefore, functional leadership is often attributed towards a team approach to leading. A group can then accomplish the goals of an organization, so long as they collectively possess the behaviors needed to do the job (Clark & Clark, 1994). The leader's role then becomes one of delegator. They can also control rewards and motivate the group (Zaccaro & Klimoski, 2002). Because of this, some claim it is not a flexible enough model for all situations (Northouse, 2009).

**The styles approach also focuses on leadership behaviors.** Theorists who consider leadership styles likewise focus on what leaders do and how they act. This is generally broken down into two types of behaviors: task-oriented and relationship-oriented behaviors (Northouse, 2009). However, this approach is very broad and few studies are able to show any connection with styles and performance outcomes (Derue, et al., 2011).

**Consider transformational vs. transactional leadership theories.** Originally seen by Weber (1947) as a way of motivating soldiers through a set of rewards and punishments, transactional leadership has changed now to be viewed as an essential characteristic of innovation (Judge & Piccolo, 2004). In transactional leadership, the follower does little, only fulfilling the expectations of the leader in order to earn some reward (Burns, 1978). Later research identified dimensions of transactional leadership to include contingent reward,

management by exception-active, and management by exception-passive (Bass, 1985). Although sometimes viewed as separate and sometimes viewed together, transformational leadership is typically seen as being about change. A transformational leader wants to inspire and motivate their followers to find a sense of purpose (Judge & Piccolo, 2004). The four dimensions of transformational leadership are charisma or idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration. Recent research has shown that transformational leadership has a great effect on such things as moral identity and motivation (Weichun Zhu, Riggio, Avolio, & Sosik, 2011).

### **Situational Leadership or Contingency Theories**

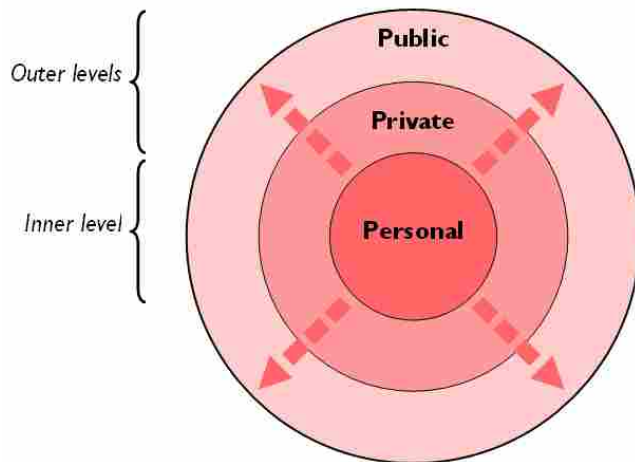
Put simply, each situation requires a different type of leadership. Situations are determined by the people involved, their interpersonal relationships, the characteristics of the group as a whole, physical constraints on the group, and the group's perception of shared attitudes and beliefs (Daft, 1983). Because a group's skills and motivations change, so must the leader. In other words, the leader must adapt their leadership to the task (Hersey & Blanchard, 1972).

Like situational leadership, contingency theory is based within a changing or evolving context (Fiedler, 1964). The difference is that the type of leadership required is determined not only by the situation, but also by the leader's style. These two dynamics, the leader's personal characteristics and motivation as well as the current situation, ultimately predicts whether a group will be successful or not (Northouse, 2009). The challenge with both of these theories is that in practice not all leaders can or do adapt so seamlessly (Scouller, 2011).

### **Integrated Psychological Theory**

This is a practical theory that is intended to bring all the strengths of the various theories that have been discussed here and combine them into one model that dictates what a leader needs to do to develop their knowledge, presence, and skill (Scouller, 2011). Scouller's model includes three levels: public, private, and personal leadership (Figure 5). An effective leader works in all three levels in parallel. The public and private levels indicate what a leader does behaviorally within a group, including creating a vision, and motivation. At the inner personal level, the leader must self-reflect and focus on their own technical know-how and skill, cultivate the right attitudes, and reach a level of self-mastery. By doing this, the leader can increase their presence and have a stronger influence on group effectiveness.

#### **The Three Levels of Leadership Model**



*Figure 5.* The Three Levels of Leadership Model. Reprinted with permission from author (Scouller, 2011).

Opponents are aware of the strong ability the model gives to identify behaviors, but believe that the idea of self-mastery may require more coaching and perhaps even psychiatric help (MacLachlan, 2011).

### **Standards and Responsibilities of the School Leader**

Unlike theories, policy, program, and practice standards are typically developed based on the needs of the current situations or the environment. Typically, businesses and schools adopt such standards in order to evaluate personnel or to create a clear focus from leaders so that they can grow and develop. Like theories, standards adopt language that describes certain traits, behaviors, and characteristics that leaders need to be successful. For the purpose of this study, only policies in education will be explored.

#### **The Interstate School Leaders Licensure Consortium (ISLLC) Standards**

The Council of Chief State School Officers first developed a set of standards for school leaders to provide guidance to states (Officers, 1996). These standards were last revised in April 2008, adopted by the National Policy Board for Educational Administration. The update incorporated new findings on educational research, as well as changing the audience tone from the original 1996 standards (Officers, 2008). They are the guiding policy standards for principals in the state of Utah, along with numerous other states. These ISLLC standards also form an important framework for what a school leader should do to achieve success.

#### **Responsibilities of the School Leader**

Though much of the research on dual immersion principals' skills and traits is unspecific, a seminal work on leadership has been done. In a meta-analysis done by Waters et al. (2003), they found 21 categories of behavior, which they call "responsibilities." These responsibilities were all found to have strong correlations with student achievement (Average  $r$  from .18 to .33 at a 95% Confidence Interval). The studies they chose to include in the meta-analysis looked at teachers' perceptions of leaders (Marzano, et al., 2005). Though they did not graphically display their findings, I have done so to help visualize the relationship (Figure 6).



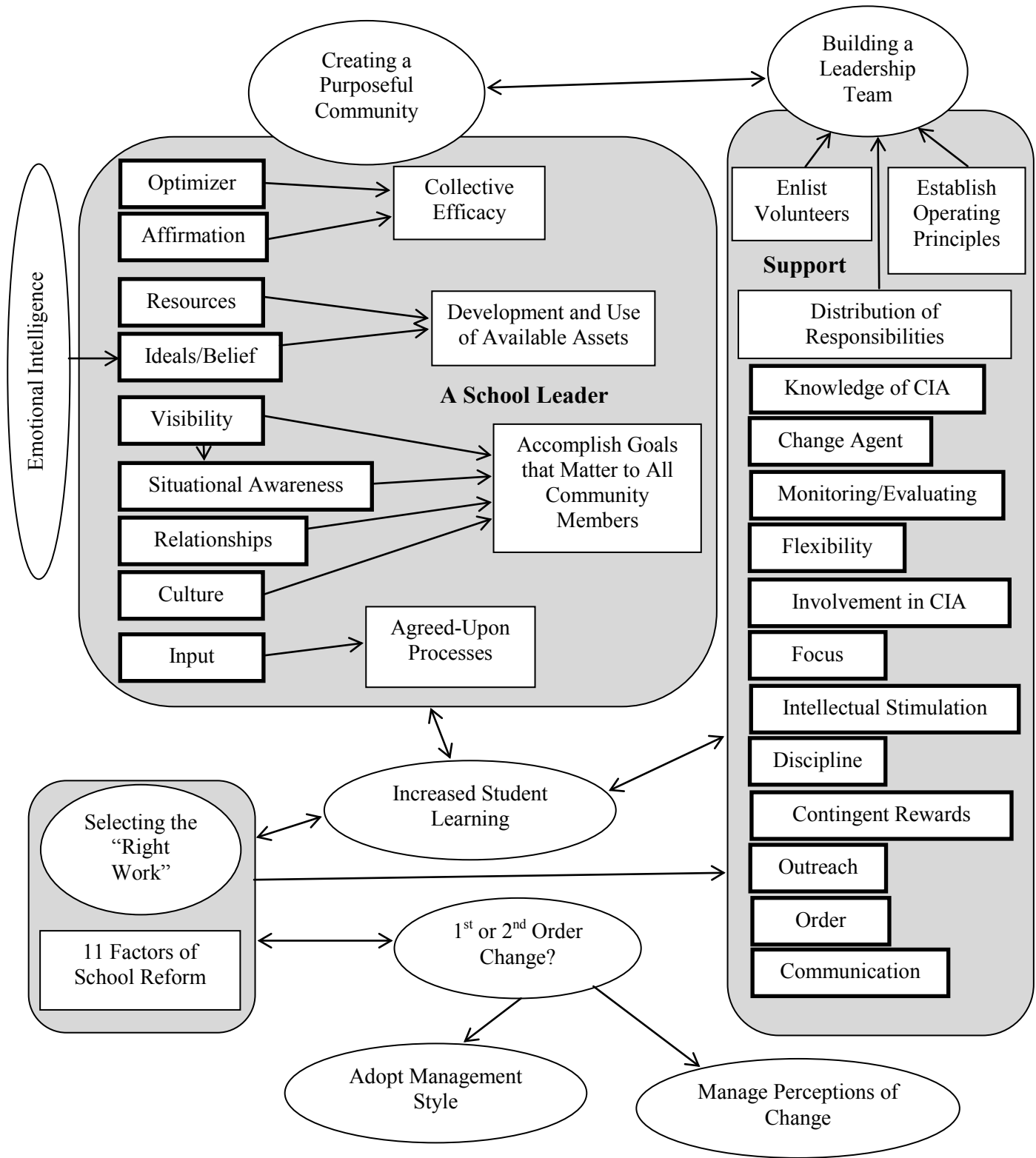


Figure 6. Marzano's Leadership Responsibilities. Adapted from Marzano et al. (2005).

A similar narrative review of literature was done, which they considered to be identifying many of the same responsibilities they found in their research (Cotton, 2003). The difference was that Cotton's study did not use quantitative estimates to determine her findings. However, like Waters, Cotton believed that these principal behaviors had an impact on student achievement.

**First-order and second-order change.** Principals have the power to bring about change in schools (Aguirre-Baeza, 2001). "When the adults who serve children do not believe their students are capable of learning and achieving at high levels, they are less likely to provide students with an education that challenges them to fully realize their intellectual potential" (Noguera, 2003, p. 20). Principals have the duty to improve student learning. This begins with their responsibility for the school environment and student attitudes, as well as for their performance on end-of-level testing (Gillispie, 2009). One of the changes a principal is in charge of is first-order change: the types of incremental changes that happen in the daily life of a school. However, they are also accountable for second-order change, which is systematic or school-wide change that includes changing a school's culture (Marzano, et al., 2005).

Water's research went on to show that in a typical school, when first-order change is all that is required, all 21 responsibilities are needed (Marzano, et al., 2005). However, when a second-order change is required because of a drastic innovation being adopted, then only 7 of the responsibilities are required. The rank order based on the *r* value of the factor analysis also changes. These include knowledge of curriculum, instruction, and assessment, optimizer, intellectual stimulation, change agent, monitoring/evaluating, flexibility, and ideals/beliefs. Because second-order change is so drastic, there is also a breakdown in culture, communication, order, and input. This is the price a leader must sometimes pay for bringing about large-scale changes in their school.

One final note about the study is that in first-order and second-order change schools, the principal can share his or her leadership with others to help bring about the change. Again, referring to Figure 6, those responsibilities that can be divided out among the leadership team are shown. Together, teams can adapt school culture to bring about change and improve student learning.

In conclusion, theories and methods to deal with leadership have evolved to a positive area of clearer and more productive research. Today's models of leadership are by-products of years of thought combined with current advancements in data-analysis techniques. With these new techniques, new insights can be found, and new conclusions can be drawn about the nature of leadership. One clear direction the research is taking is the combination of both skills and traits, and an emphasis on transformational leadership that improves leadership effectiveness. Various meta-analyses have found a strong correlation for a complex web of factors that impact organizations and schools. An integration approach appears to be the best solution for solving the mystery of what makes a good leader.

### **Leadership in the Dual Immersion Context**

Some research on dual immersion has looked at the role of the principal from the viewpoint of these leadership theories. Others have just listed certain principal behaviors, based on their beliefs or opinions. Some of the research will help build the case for this study and show what has been done and potential areas that can be further explored or connections that might possibly be made.

### **Change Theory and Transformative Leadership**

There have been a few studies that have addressed the level of change required to adopt and successfully manage a dual immersion school. One of these was conducted in Texas

(Hellowell, 2011). The study had three purposes: (a) to see if the principal identified their job as a change agent, and specifically as a second-order change agent; (b) to determine if the training the principal did receive prepared them in any way to meet the demands of leading a dual language program; and (c) to understand if principals need to adopt a personal philosophy of dual language education and personally identify with the program. This built on the theory proposed by Marzano, Waters, and McNulty (2005). The researcher found that although research indicates that dual immersion programs do represent second-order change models (Cuban, 1988), principals do not perceive the programs as such. Because of this misdiagnosis, school leaders struggle to make changes that are needed. This was a critical finding because of the large number of dual immersion programs in Texas. The findings supported the fact that Marzano et al. (2005) discuss, which is that “first- versus second-order change is an internal event. It is defined by the way people react to a proposed innovation” (p. 112). To some it may have been second-order, but to others it may have been first-order. Marzano et al. recommend surveying faculty to determine how they perceive the innovation. This is critical because “if leadership techniques do not match the order of change required by an innovation, the innovation will probably fail regardless of its merits” (p. 66).

As part of the study, Hellowell (2011) also found that in general, the principals did not feel adequately prepared for the job. In fact only 35.5% felt satisfactorily prepared to lead a dual language school. Finally, in terms of a personal philosophy, the researcher found varying responses ranging from helping students to become bilingual and biliterate to lacking a vision. This study indicates the principal’s need to gain some technical knowledge (Katz, 1974) in order to better serve as a change agent in a dual immersion school, because as Barth notes, “learning is the best antidote to the deadening routinization so endemic to schools” (1990, p. 72).

In a somewhat related study, a researcher looked at the “non-routine” issues that principals of dual immersion schools face (Schwabsky, 1998). This qualitative case study in Oregon included surveys, interviews, a focus group, document analysis, and observations of eight Spanish, French, and Japanese dual immersion principals. Some of the non-routine issues they found were intercultural communication, interlingual communication, workload equality, and resource management. Intercultural issues revolved around elements of status, general personalities of different cultures, and working together without causing offense. Inter-language issues dealt with the amount of the foreign language used in and out of the classroom, and problems stemming from the principal needing to evaluate someone in a foreign language they didn’t know. Workload issues arose because of the extra demands placed on teachers, as well as principals having to balance who teaches what and when. This was especially a concern with standardized test requirements. Traditional schools are not as ambiguous as dual immersion schools. Finally, resource issues arose because budgets are constrained when you are trying to provide for two programs, to buy supplies, or to pay teachers for the extra work they are doing. The study also revealed issues with hiring, trying to decide when to hire natives or non-natives. Finally, many principals didn’t know how to handle struggling students in the program. This study analyzed how the principals solved these problems, revealing that most used a collaborative-democratic style. Schwabsky recommends that more be done to help principals to deal with the multicultural issues they will certainly face, as well as develop a plan for working with various cultures from a perspective of mutual respect.

Hunt (2009) conducted a study looking at transformative leadership in New York City. This idea was first introduced looking at all school leaders, though Hunt has applied it to the dual immersion context (Burns, 1978). Her results showed that having a clearly grounded mission,

using collaboration to instill trust, being flexible, having administrative support, and setting clear language priorities for teachers and parents helped these programs succeed. Some of the challenges that principals faced were external mandates and lack of support from outside sources. She further states: “While the implementation of an educational program may not rely exclusively on the knowledge base of any one individual, there must be space and support for the program to be integrated and promoted throughout a school community” (p. 1). She further indicates that “the role of the leader in negotiating such challenges over time has been neglected” (p. 8). Clearly, being part of dual immersion requires transformative leadership.

The last study that looked at change also included the perspective of transformative leadership (Carrasco-Navarrette, 2011). This qualitative study used Roger’s (1962) theory of diffusion of innovation, a seminal work on change in the business community. Unlike Marzano, this work refers to second-order change as a “paradigm shift.” Through interviews of school principals in Texas, Carrasco was able to show that dual immersion does represent a radical innovation, and that principals must respond to this by making collective decisions, being flexible, dealing with miscommunication, advocating for the program, and staying positive and passionate. The various stages and consequences of diffusing such a radical innovation bring numerous challenges, but Carrasco and the principals she interviewed believe in the model and want to help ELLs succeed. Principals need to realize they are cultural change agents and that they are part of a great social structure that doesn’t necessarily appreciate or think favorably about diversity.

Castellano, Stringfield, and Stone (2002) point out that “strong principals and other leaders do not and possibly cannot force change; but they have been critical in setting an agenda and the tone for change” (p. 36). Katz (1974) adds that the search for the perfect executive leader

must begin with answering the question: what can he or she do? Human and conceptual skills have been discussed, but to be a change agent requires the third of Katz's skills—technical skill. To be a change agent, principals must conceptually see the school as a whole and find a way to advance the entire school together towards a specific destination. This requires a “specialized knowledge” or an “analytical ability,” as well as a “level of comfort in using the tools and techniques” of dual immersion education. According to Hellowell (2011), there seems to be a lack of background and training in understanding the change process among dual immersion principals in new programs. The challenge for principals in affecting second-order change involves communication, identifying the culture, knowing the steps in the change process, and receiving the necessary input to make the change lasting and positive (Marzano, et al., 2005). This involves all three of Katz's skills.

### **Skills and Traits**

Most of the research on dual immersion principals makes some contribution to the list of skills and traits they should have. Others simply outline insights they have gleaned as principals themselves, or from years of experience with dual immersion. These will be outlined in general, as there is not at present any conceptual way of connecting these skills and traits.

Community involvement or being an advocate is often mentioned in the research on dual immersion (Aguirre-Baeza, 2001; Carrasco-Navarrette, 2011; Coffman, 1992; Feinberg, 1999; Hernandez, 2011; Montecel & Cortez, 2002). Marzano calls this skill “outreach.” It relates to the need for a principal to be “an advocate of the school” and follow “all important regulations and requirements.” In the dual immersion context, this might imply helping teachers follow the model, staying politically active, and constantly teaching others about immersion.

Rodriguez (2009) interprets the advocacy role to mean that the principal understands the differing backgrounds of their students, identifies with these contexts, and exhibits specific leadership behavior that respects these differences and alerts the public to the needs and benefits these schools can provide. To be able to fulfill this role most likely requires extra knowledge and expertise (Lindholm-Leary, 2001). A typical school principal may not have any special training in these matters or may misunderstand or dislike these extra duties (Baranick, 1986). To explain the importance of advocacy, some researchers found that the principals' negative feelings, brought on because of the leaders' lack of knowledge, lead to the distrust of parents and students towards the programs (Calderón & Carreon, 2000). The researchers concluded: "A strong principal must maintain a supportive school-wide climate and be willing to learn, alongside with teachers, on a continuous basis, and supervise/motivate to ensure quality implementation and improvement" (p. 46).

Additionally, many researchers state that the principal is the key person responsible for helping everyone stay true to the model (Christian, 1996; England, 2009; Howard, et al., 2007; Potowski, 2004). This could include learning what the model is, obtaining data to track and validate progress, and understanding how to help teachers change when needed. Marzano calls this "monitoring/evaluating." Tied to this, principals are responsible to coordinate the planning, development, and implementation of the model (Met, 1987). Katz (1974) refers to this as the conceptual skill in other principal research, though it might be applied well here. For Katz, the conceptual skill requires seeing the school as a whole, and how all the various functions tie together, including how the school ties to the outer community, including possible funding agencies, businesses, and parents. It seems this skill is tied to outreach. Researchers feel that this



skill of monitoring and evaluating can be a particular challenge in a foreign language classroom (Met & Lorenz, 1997).

Another frequently mentioned responsibility is to create a sense of vision (Aguirre-Baeza, 2001; Hunt, 2009; Walliser, 2009). This begins by first obtaining a vision of what dual immersion is, which requires knowledge about dual immersion, followed by sharing this vision with others (staff, teachers, students, parents, etc.) in a positive way so that they see what dual immersion is capable of doing for others. Marzano calls this being an “optimizer.” It means that the principal has to work with many different types of people and be willing to advertise for the program inside and outside the school (Coffman, 1992).

According to Marzano’s model on second-order change, communication is one of the first things to dissolve. Being a change agent would possibly require the principal to deal with these miscommunications and encouraging staff and teachers who are struggling to cope with the changes (Feinberg, 1999). According to Barth (1990), building Professional Learning Communities “PLC”’s begins with collegiality, or relationship-building. Collegiality means adults in schools talk about practice, then observe each other engaged in practice, then work on curriculum together, and finally teach each other, such that the knowledge they now have is a shared knowledge. This is a beautiful description of how professional learning communities should work, and indicates an important, though neglected, aspect, which is how the principal forms and shapes these relationships. This interdependence is not just between teachers, but should include the principal (Hunt, 2009).

One clear example of this collegiality can be seen in the case of a principal in a newly formed German one-way immersion school (Baig, 2011). This school’s principal was passionate and motivated. She traveled a long distance to come to the school. Her office was a converted

tool shed, and the staff and students had to use Porta Potties instead of real toilets during the first year the school opened. The principal had to overcome cultural difficulties, meet parents' expectations, and solve a multitude of conflicts.

Along with building relationships, dual immersion research also mentions the need to communicate. An essential characteristic for principals is the human skill—it is part of everything a principal does (Katz, 1974). Katz describes this skill as the ability to listen to ideas and thoughts different from one's own, allowing others to feel free to express their opinions while still communicating your needs. Even if a principal is a good communicator, in a dual immersion school there are other factors that might need to be considered. The first challenge might be having a staff or community that may not welcome or understand this type of schooling (Peréz, 2004). Secondly, perhaps many of the staff, as well as parents and students, do not speak the immersion language (Schwabsky, 1998). Furthermore, the cultural boundaries often separate the leader from his or her school (Hallinger & Leithwood, 1996). This cultural divide could include the native culture of parents and students that are different from the principal; it could also include cultural elements within the community that divide the immersion school from other, more traditional schools. In order to be successful, these challenges may need to be overcome, which most likely occurs through principal leadership within a school (Barth, 1990).

Another responsibility of dual immersion principals is to be an instructional leader (Alanis & Rodriguez, 2008; Coffman, 1992; Hernandez, 2011; Hunt, 2009; Rodriguez, 2003; Williams, et al., 2007). In the accountability era, principals are required to find the best ways to help students achieve. That is their number-one priority. Williams surveyed principals in California and found that the top two areas that they wanted to have training on included using assessment data and ways to implement instructional strategies (Williams, et al., 2007). Another

aspect of this is organizing staff into professional learning communities, finding time for them to meet, and providing opportunities for themselves and their staff to get substitutes so they can attend conferences, observe and work, and grow professionally (Hernandez, 2011). This responsibility is called “intellectual stimulation” by Marzano. It requires that principals learn the best practices and help train staff to implement them.

Some minor or less frequently mentioned traits included being visible (Montecel & Cortez, 2002), scheduling, managing resources (Coffman, 1992), and flexibility (Carrasco-Navarrette, 2011). A few studies discuss the idea of the principal’s own language ability, but the research is not definitive (Coffman, 1992; Rodriguez, 2003). Met says that not knowing the language may be an advantage, because the principals see the ease with which their students acquire it, which motivates them to advocate for it (Met & Lorenz, 1997). However, Coffman, a principal himself, argues that it is important in some areas, such as teacher evaluation and instructional leadership (Coffman, 1992). This is a topic that requires further exploration.

Although these findings on the skills and traits of dual immersion schools in particular shed some light on the difficulties that principals face, they in no way cover all aspects of a principal’s job. In many cases, these studies were the opinions and thoughts of teachers, district officials, parents, or others. Still, these findings do help to create an initial framework for the types of issues that might surface. It is also interesting to see that many of the skills and traits identified by other researchers align with Marzano’s list of the seven traits associated with second-order change.

### **The Team Leadership Approach**

In much of the research on dual immersion there is support for incorporating some type of team approach to leadership (Hunt, 2009; Pérez, 2004). Key to a successful PLC is partnership

(Gulati, Dialdin, & Wang, 2002; Lashway, 1997; Simmons, et al., 2007). Although this research focuses on the role of the principal in this process, it is vital to understand that even the principal does not hold the key to solving all the school's problems, and that they don't always have the solution. In most cases, principals would do well to create an environment where they can learn from their teachers, receive input, and collectively meet to resolve issues (Barth, 1990; Hunt, 2009). A principal who fulfills their role as an "enforcer" of policy will rarely be as successful as one who allows their entire staff (teachers, secretaries, etc.) to function as a team (Hill & Jones, 1998).

Because the demands of principals in dual immersion schools can be daunting, some researchers recommend that principals look to others to fulfill these needs. "If the principal cannot fulfill a prominent role for a program, the responsibility may come from a vice principal, program coordinator, resource teacher, or a management team" (Howard, et al., 2007, p. 26). In Howard et al.'s opinion, relying on just the principal for leadership can result in the failure of even the most successful program.

### **A Political Responsibility**

As has been alluded to in the research on dual immersion principals, there is a special set of challenges that dual immersion school principals seem to face. A particular challenge that almost all the research points to is the political battle that many principals face in their communities. Finding a clear place for dual immersion in the U.S. has been a challenge for many years. Bilingual education has seen the largest political debates, and the term is rarely used much anymore as a result. In 1983 the National Association for Bilingual Education (NABE) testified against U.S. English in court. The U.S. English organization, founded by Senator S. I. Hayakawa, wished to approve an amendment to the Constitution, making English the official

language of the United States (Hakuta, 1986). This was seen by some as an attack on bilingual education, which was already under extreme scrutiny during the Reagan and Bush administrations (Dyste, 1989). Unfortunately, this and other factors underpinned a change from support to controversy regarding bilingual education. The federal government has given less money, more emphasis has been placed on English, less importance has been given to native language preservation, and in 1990 ten states adopted English-only initiatives (Fitzgerald, 1993). Now it seems that the nation is in a “dismissive” period, where some love and others hate bilingual education. Dual immersion principals must face these conflicting opinions and advocate for their programs (Lindholm-Leary, 2001).

Politically, principals are usually the ones who must decide if language diversity is important, a right, or unnecessary, and whether dual immersion is the best fit for their school (Carrasco-Navarrette, 2011). Generally speaking, however, principals must not only focus their attention on misguided attitudes towards bilingual education, but also on misperceptions of how people learn languages (Hernandez, 2011). Too few students, parents, government leaders, and principals seem to understand how helpful bilingualism is to language-minority and language-majority students (Feinberg, 1999; Valdes, 1997). Too often nationalism, racism, or social control muddy the waters (Ovando, 2003). Yet, linguistically marginalizing students has not been shown to help either (Lindholm-Leary, 2001).

To understand the difference, it seems important that principals understand that America is not an official bilingual society that openly accepts other languages, like Canada or Finland. Our policies lead many to believe that America is a monolingual society, and these dual immersion schools exist in areas where diversity and segregation are touchy subjects (Bernhardt, 1992). That mistaken belief about English being the only language Americans should know has

led to many of our policies (Jensen, 2007). Principals of two-way dual immersion programs need to be prepared to understand and explain the goals and aims of the program and the model, and encourage district officials, parents, and local community members to support dual immersion. Regardless of how strong schools might appear to be, things change. Upper-level management will change, funding levels may change, population shifts will occur, and there will be increasing accountability (Coffman, 1992). This shift should begin with the school leader, and then become adopted by the community for things to change (Hargreaves, 1997). Regardless, being a change agent appears to be a critical skill for dual immersion principals to possess (Carrasco-Navarrette, 2011).

On the opposite side of this spectrum, we see an ever-increasing popularity of the Chinese language in American public schools (Dillon, 2010). As this trend continues, parents may ask whether the study of one language or another is more important for their child. Still others may question whether either is really needed. Having English as a *lingua franca*, we might feel confident in our global position, but China has four times our population and is very financially invested in many parts of the world. It is also interesting to note that China has over 300 million of its students learning English, compared to around 60,000 Americans learning Chinese (Norman, 2011). Will this trend last, or is it just a fad? Some feel that if the current political and economic climate changes, students will lose interest in Chinese (Neely, 2011). Others question Americans' ability to learn such a difficult language (Moser, 2012). Nevertheless, there is one set of issues regarding students learning a language, and another set of issues regarding the political opinion, depending on whether the school is a one-way or two-way type of immersion program. For instance, it seems that the political climate is not as strong in one-way programs as it is in two-way programs (Freeman, Freeman, & Mercuri, 2005).

Similarly, one-way immersion receives less criticism than other types of bilingual education, because parents are perceived to have more choice in these schools, as opposed to parents in two-way schools (Hoffman, 2010). However, even in strongly adverse climates, like those in California, parents have still found ways to have their voices heard so their children can participate in dual immersion schools (Dyste, 1989). Ultimately, political forces against dual immersion, one-way or two-way, have not kept the growth of dual immersion down; so even in a difficult climate, principals need to understand their program and be able to advocate for dual immersion, because they can still have success in the current political climate (Olneck, 1995). Since politics is such an important social influence in organizations, principals should be well equipped to handle them (Gray & Ariss, 1985). For successful schools, principals of dual immersion should become adept at fighting these political battles to show they are advocates for the program. However, it does appear that the heated debates found within the acceptance of bilingual schools is not nearly as volatile with regard to dual immersion schools, especially in Utah at this time.

### **Principal Professional Development**

Research has implied that professional development is important for teachers. Often, discussing the principal's role becomes a focus on leadership traits and skills. The research on dual immersion principals referred to possible differences between the skills and traits dual immersion principals require compared to a traditional school principal. These included building knowledge, developing ideals and beliefs, and building and maintaining staff culture (Elmore, 2000; Levine & Lezotte, 1995). To learn these skills and traits, states and districts typically employ some type of professional development (Met & Lorenz, 1997).

Teachers do not enter the profession as experienced practitioners and neither do principals (Caldwell, 1986). Professional development seeks to improve teacher practice, and professional development for principals has been shown to improve job satisfaction (Simmons, et al., 2007). Inadequate compensation, long work hours, and increased pressure from policymakers are just a few of the reasons this dissatisfaction exists (Mills, 2002). Peterson (2002) and others believe that if principals were prepared to work in these conditions, then fewer principals would become exasperated. If these pressures exist for typical principals, then it would seem reasonable that dual immersion principals, who have extra burdens, would also feel frustrated and unsatisfied (Walliser, 2009). When the quality of our schooling has never mattered more, it is troubling to find that the majority of principals are unhappy and feel underprepared to assume the principalship (Levine, 2005).

In one study, Calderón & Carreon (2000) claim that if good leadership is important for effective schools, then it is even more important for dual immersion schools. Furthermore, they state that dual immersion requires so much more from teachers and principals. They found that the principal who was consistently at professional development meetings and who had a passion for it saw the best results. This study highlights the importance of preparing all principals, including dual immersion principals, for the taxing responsibilities they encounter, as well as the justification for exploring the professional development practices of teachers and principals alike.

Many principals direct professional development, but some researchers question whether simply being there and coordinating the efforts of teachers is sufficient for principals to make personal strides in their own understanding of the challenges and difficulties of a dual immersion school, or if something more is required (Kose, 2009). There are many studies that indicate all



the activities a principal should do, but few if any studies specifically outline how a principal should learn their duties and responsibilities, grow as a professional, or collaborate with others (Nicholson, et al., 2005). Research has failed to find evidence to support any claim that principal development matters, and what little research there is confounds the lines between the research on principal professional development and the broader literature related to principal preparation and performance (Lammert, 2004).

One example of this vague correlation is a study of the Intercultural Development Research Association (IDRA) and the U.S. Department of Education, Office of Bilingual Education and Minority Languages Affairs (OBEMLA). This study compared all aspects of bilingual and non-bilingual schools to find the successful characteristics they possess (Montecel & Cortez, 2002). The study identified 25 factors that contributed to the high academic performance of students. These were grouped into three levels: student, school-level, and classroom-level indicators. One of the key school-level indicators was professional development. However, what Montecel and Cortez fail to show is how the principal should grow. Instead, they focus, like many other researchers on the teacher and mention the principal only as a support person, rather than as someone for whom skill development is essential.

In yet another study, the researcher interviewed the principal who had successfully implemented a Spanish dual language program in an urban neighborhood (Armendariz & Armendariz, 2002). While reflecting on the early implementation phase of her program, the Hispanic principal mentions some of the challenges she faced. The biggest challenges she faced were the lack of on-the-job training and having to continually be learning about dual language issues and best practices, as well as how to be an effective principal. She also noted how hard it was for her to connect with other principals—to network, share ideas, and come up with

solutions to their problems. Yet again, this researcher failed to show beyond simple anecdotes any circumstantial evidence to support the need for principal improvement or professional development that targets key skill or trait development.

While other research hints at the need for professional development and expanding one's personal knowledge (Castillo, 2003), few focus on the direct impact of a focused professional development specialized for dual immersion schools or find conclusive causation on student growth (Kose, 2009). To find if the principal's leadership and professional development correlates with student achievement, then better and more specific studies must be conducted; these studies must eliminate some of the multitude of variables that do exist and clearly distinguish between those variables that are present (Darling-Hammond & Sykes, 1999; Elmore, 2002; Marzano, 2003).

Beyond the need for well-structured research, principal professional development is hard to study because it is not yet common practice (Lammert, 2004). There are multiple reasons why a principal may not actively participate in his or her own professional development. One of these may be time (Calderón, Slavin, & Sanchez, 2011). The second might be more ethical—principals often feel uncomfortable using school budgets on their own professional development (Barth, 1990). A principal himself, Coffman (1992) describes what it takes to be a dual immersion school principal. As the main advocate, the principal must be knowledgeable about the goals, and well-versed and up-to-date with current research and theory in the areas of immersion education and first and second language acquisition. This knowledge is critical in developing, articulating, and implementing a shared vision of learning among members of the school community, he believes. Coffman goes on to state how his own knowledge of the foreign language helped him participate in discussions more fully and fulfill his role as principal,

although he realizes that this is a rare exception. He notes also how he made sure the climate was conducive to language instruction by having the signs in the school written in both languages. He made sure he found competent and qualified teachers along with a specialized support staff. Furthermore, obtaining materials, training staff, and finding ways to evaluate the program were always on his mind.

This perspective is very important, and sets the stage for some of the areas that professional development could help with. Coffman represents one of thousands of principals that serve in that capacity. His background, his expertise, and his awareness most likely did not come all at once, and he does not necessarily represent the typical dual immersion principal, as he himself suggested. That he makes mention of similar characteristics in previous studies, such as the advocacy role and keeping up on research, is admirable, but it would help to see if his passion for dual immersion is unique. As well, it would be important to find out what other gaps in professional development principals say exist.

Caldwell (1986) offers an important insight on why principal professional development is a challenge. Principals are required to change and improve, but little time or effort is given to make it happen. In essence, there is an expectation that big changes can come with very little investment in time and effort. So instead of enhancing skills and traits, principals are only making minute changes on awareness of issues or other topics that are short-term and topic-specific, nothing that is on-going and lasting.

Hallinger & Murphy (1991) report that not until the 1990s did principals even need to be involved in any type of development practice or fulfill in-service training requirements. Though Leithwood et al. (2004) make the point that this type of professional development may only have an indirect impact, it still accounts for a substantial influence on student learning, teacher

practice, and school improvement. Minimal effort will not be enough. Just as with teacher professional development, principals must be exposed to theory, have an opportunity to see demonstrations, practice, and then get feedback before they apply the new knowledge (Joyce & Showers, 1983). Furthermore, like teachers, principals must be involved with teams or learning communities who consistently practice, monitor, track, and adjust if they are to improve their skills and traits; in other words, they must have access to job-embedded learning (Darling-Hammond & McLaughlin, 1995). There is much more that can be done to improve on the “wasteland” of professional development available for teachers and especially for principals (Barth, 1986).

### **Summary of Literature on School Leadership**

This review of the literature on principal leadership in dual immersion schools has explored the integral nature of language, culture, and schooling in a world that is increasingly interconnected globally. Central to creating positive learning outcomes and affecting change, principals must create school cultures that embrace the diversity of new student populations. Within the bounds of dual immersion schools, principals have additional demands to learn the skills and traits required to enact change and support successful implementation of goals relating to their specific school environment. Namely, dual immersion principals must advocate for the minority language and become a change agent in their schools (Castillo, 2003). However, the skills and traits specific for dual immersion principals have not been researched sufficiently to provide concrete evidence of their impact on student learning, despite findings that report that principals are dissatisfied with their jobs and poorly trained to take lead of a dual immersion school. Though standards and responsibilities exist for traditional school principals, some researchers believe dual immersion is different enough that it requires a different set of skills and

behaviors. Further research is needed to conclude to what extent dual immersion principals require additional skills or traits and to what extent they do not. In addition, research has shown that gaps in professional development may exist. These issues must also be considered.

Based on the review of literature of dual immersion leadership, the following initial theoretical framework is proposed (Figure 7). This model illustrates the potential skills and traits described in the aforementioned research on school leadership and dual immersion leadership. At the crux of the model, one finds professional development for principals. Based on this framework, principal professional development has an influence on two things: teachers' practices and principals' skill and trait acquisition. For simplicity, only some of the skills and traits are listed that have a special importance in dual immersion settings (Barth, 1990; Coffman, 1992; Hunt, 2009; Marzano, 2003). The question mark implies that these skills and traits in the context of dual immersion require further study. Traits and skills are both required for good leadership, and understanding the inherent differences between traits and skills is an appropriate addition (Reithel & Finch, 2007). Similarly, by gaining these essential characteristics, principals are better able to serve as change agents within the community, as well as lead the faculty to improve their own practices (Darling-Hammond & Sykes, 1999; Feinberg, 1999). Research also showed that principals have an important impact on student learning (Marzano, et al., 2005). On the outer side of the model are community factors, political factors, and school type factors. These make up the situational accommodations that principals must address in order to adapt dual immersion to their schools (Zaccaro, 2007). The addition of school type, one-way and two-way, has only been included in a few studies, and is not often considered as a variable (Rodriguez, 2009).

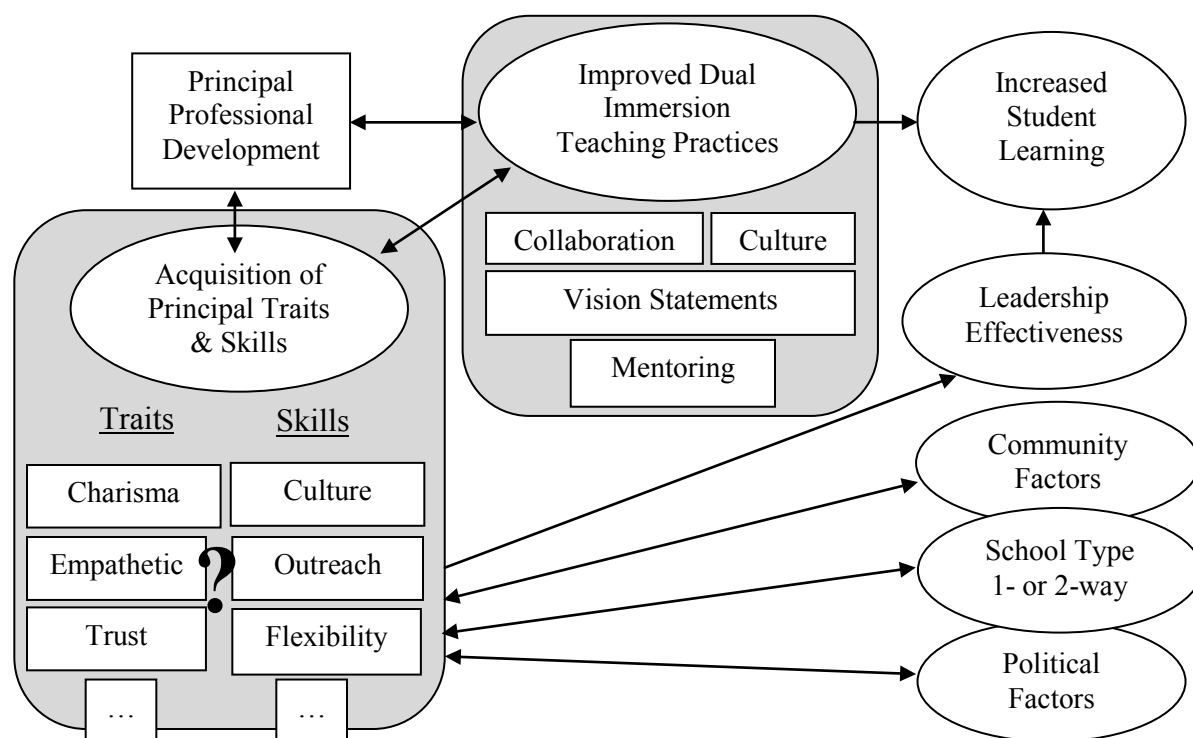


Figure 7: Initial Theoretical Framework of Dual Immersion Leadership Research.

Further research is required in order to understand how one-way programs focused on English speaking students differ from a principal's perspective towards professional development with two-way programs that include native and non-native speakers in the same classroom (Hunt, 2009). Finally, it is not clear if this list of skills and traits is complete, or to what extent these skills and traits differ from those required of a traditional building administrator (Calderón, et al., 2011; Marzano, et al., 2005). Perhaps other topics might be included as well, or eliminated.

Clearly, the research is currently insufficient to inform policymakers, districts, administrators, and university preparation programs on the specific skills and traits dual immersion elementary principals need to have to be successful and improve student learning.

Having these clear guidelines would help to determine what actually does occur or should occur in the training and professional development of these principals.

### **Definition of Terms**

One note about terminology: there exist a multitude of terms to refer to various aspects of leadership research. For this study, skills and traits are used to describe what other research is terming *responsibilities*, or in some cases *behaviors*.

**Behaviors.** The way in which one acts or conducts oneself, especially towards others. It implies action and doing, as well as conduct. Behaviors can be learned. Some examples of behaviors are trustworthiness, open-mindedness, and having a sense of humor.

**Characteristics.** Feature or qualities belonging typically to a person, place, or thing, and serving to identify it. This is a description of traits, skills, behaviors, styles, or dispositions.

**Dispositions.** A person's inherent qualities of mind and character. It can also refer to the mood or attitude of an individual, as well as his or her habits. This is viewed as synonymous with *traits*.

**Foreign-native teacher.** A teacher who lives in a foreign country, and who has been hired to come to America and teach in a dual language elementary school. They may or may not have a firm understanding of the cultural practices of American schools. They may or may not have a firm grasp of the English language in all academic contexts.

**Native-student.** A student whose primary language is English. They grew up learning, hearing, and speaking English in their home.

**Native-teacher.** A teacher whose primary language is English. They grew up learning, hearing, and speaking English in their home.

**Non-native student.** A student who was born outside the United States, learned a language other than English while growing up, and then has since moved to America. Depending on their age and English proficiency, they may or may not require additional support in English and/or their native language.

**Non-native teacher.** A teacher who was born outside the United States, learned a language other than English while growing up, and then has since moved to America. Once here, they have mastered English at an academic level, are certified to teach in the States, and have adopted many or all of the cultural practices of Americans.

**Responsibilities.** According to Marzano et al. (2005), these are the behaviors, principles, skills, knowledge, or practices principals need to succeed.

**Skills.** These are the sum total of a person's ability to help the group achieve its goals and maintain an effective working relationship among members. Anyone can learn leadership skills.

**Styles.** A leader's way of providing direction, implementing plans, and motivating people.

**Traits.** Distinguishing qualities or features of one's personal character. Trait leadership is defined as integrated patterns of personal characteristics that reflect a range of individual differences and foster consistent leader effectiveness across a variety of group and organizational situations. Because traits are inherent, they cannot usually be learned.



## APPENDIX B: METHODOLOGY

The main objective of this study is to ascertain the skills and traits that principals identify as necessary to be successful as dual immersion principals. These skills and traits will be identified by asking for the opinions of current dual immersion school principals in Utah. This focus is addressed in the following research questions: (a) what do dual immersion principals identify as the skills and traits that lead to success in a dual immersion context? (b) do the opinions of the required skills and traits differ between principals of one-way and two-way dual immersion programs, and if so, how do they differ? (c) what training or professional development do current dual immersion principals say they have received, how do they feel this training has helped them to be a successful dual immersion principal, and what gaps do they feel still exist? This chapter describes the methods and procedures required for answering these questions.

### **Research Design**

This study will solicit the opinions of principals in one-way and two-way dual immersion schools in the state of Utah. Through opinion and survey data from principals, the researcher can describe the skills and traits the principals state are necessary to have success in a dual immersion school context. Having data from principals who have experienced what leading a dual immersion school is like, and being able to contrast that with other administrative experiences, will add an important perspective to address the research questions, rather than relying on a teacher's or parent's perspective alone. The principal's thoughts, beliefs, and insights will help to create an understanding of some of the key traits and skills and how they differ between the one-way and two-way immersion schools. Phase I will include a survey of the

entire population, and Phase II will include a proportionate stratified random sample (Groves et al., 2004).

Subgroups of one-way and two-way dual immersion schools will be included in Phase II of the research design to add a depth of understanding to the research. Two-way schools that include both native and non-native English speakers are often separated from the one-way schools that have only native English speaking student populations. This is because the purpose of the programs can be different in specific ways (Baig, 2011). One-way programs serve a homogeneous group. Two-way programs include language-majority and language-minority students. The parent demographics are different: Hispanic families often take less of a role in the education system (Collins, 2010). The role in advocacy is different: two-way schools encounter additional challenges due to prejudice and peer relations (Lindholm-Leary, 2001). The needs of the students are different: language-minority students require more assistance to get on level (Valdes, 1997). One-way schools seek to teach language proficiency and cultural understanding and appreciation. Two-way schools do this as well, but there is often the goal of helping language-minority students develop higher levels of academic language and literacy by strengthening their native language proficiency (Hunt, 2009; Wesely, 2009). By contrasting the principals from these differing schools, important insights will help add to the body of research on this topic.

A further stratification criterion that was considered, though later rejected, was urban and rural schools. Schools in Utah are identified as either urban or rural based on county census data and according to "Metropolitan Statistical Area" (MSA) data. Some studies in other states have included these criteria because there is often a predictable difference between rural and urban schools. For instance, principals in urban districts are more likely to have an ethnically diverse

student population and lower literacy rates, and poverty also plays a greater role (Baranick, 1986). Because of these and other potential factors, it appears that urban schools face more challenges and therefore might require additional support (Boutte, 2012). It is often mentioned that school spending varies between rural and urban schools, especially at the federal level, with Title I funding typically available in urban schools (Figlio, 2004). As it applies to dual immersion, if one considers Wenger's (1952) theory of communities of practice and Vygotsky's (1978) social-constructivist theory—which imply that bilingual and biliterate practices are created in the home, school, church, and playground—it could be foreseeably concluded that differences in urban and rural contexts could in fact play a role on principal decision-making and program administration (Ro, 2010). If urban and rural environments impact student achievement in some way, then perhaps principals of these schools will tend to treat their roles differently and require different skills or traits. Research has also supported the rural/urban distinction when training principals (Simmons, et al., 2007).

Though many of these points are persuasive, the designation of urban and rural in Utah is not as simple. What the overview of dual immersion schools shows is that only 3 of the 78 dual immersion schools currently using the state model can be classified as two-way rural schools (Table 8). However, these 3 schools (located in Heber, Park City, and St. George) do not reflect what one finds in rural districts in other parts of the country. This is because MSA is calculated on population size (<http://www.census.gov/population/metro/about/>), and all of these communities are sparsely populated. Yet, they are all bedrock communities, whose population is upper middle class, and whose ethnic majority race is primarily Caucasian, like the rest of Utah. It appears that the diversity variables that would be interesting to study in other parts of the

country are not available in this population, and the areas that could provide the researcher with this type of data do not currently have dual immersion schools.

Table 8

*Potential Sample of Dual Immersion Schools if Divided into Four Strata*

Stratum	$N_h$ Schools on frame
One-way urban	49
One-way rural	11
Two-way urban	15
Two-way rural	3
Total	78

Another issue with this population is that sampling from it would result in an overrepresentation of urban one-way schools. Until further expansion of two-way programs and dual immersion in general into more isolated and rural parts of the state occurs, this factor can be ruled out.

Additionally, other post-stratification criteria may certainly be included, given the results of the survey data, such as in the following potential scenario. For instance, if principals who direct a dual immersion school are fluent in that foreign language (an instance of homophily), then there could potentially be a division in the principals' responses. This or other variables would need to be considered in the final analysis. Therefore, the survey data will be analyzed to not only show descriptive statistics, but these data will also help in determining what the final stratum will be when analyzing the interview data.

### **Sampling**

The target population includes all principals of dual immersion elementary schools in Utah. The researcher will use a two-phase sampling process. Phase I will be a survey of the entire population, allowing for census data from all principals in dual immersion elementary

schools in Utah, not a sample. Phase II will then include interviews of the same principals. The data will be stratified based on one-way or two-way dual immersion programs; from the 78 schools, 13 one-way immersion school principals and 4 two-way immersion school principals will be selected at random within each strata, making up the sample population (Table 9). Thus, the researcher will be using a proportionate stratified random sample (Gall, et al., 2006).

Table 9

*Actual Proportionate Stratified Random Sample Results Divided into Two Strata*

Stratum	$N_h$ schools on frame	$W_h$ proportion of population	$n_h$ stratum sample size	$f_h$ stratum sampling fraction	$\bar{y}_h$ sample stratum mean	$s_h^2$ sample stratum element variance
One-way	60	0.77	13	0.22		
Two-way	18	0.23	4	0.22		
Total	78	1.0	17	0.22		

The stratification criteria will require a proportionate number of one-way and two-way immersion schools within the sample as it relates to the overall population. All 78 schools have been identified as either one-way or two-way dual immersion schools based on the language of instruction at their particular schools, and the definition of one-way or two-way dual immersion given by the state of Utah (<http://utahimmersion.org/>). In Utah at this time, there are 18 two-way schools and 60 one-way schools as potential participants. To arrive at the total of 17 interviews, an equal fraction was employed for each stratum ( $n_h/N_h$ ) of 0.22, making the proportionate sample of 13 one-way and 4 two-way schools to be selected from each independent group or strata within the population. To select the schools, each will be assigned a number from 1 to  $n$ , for instance two-way schools would be numbered from 1 to 18, and one-way schools from 1 to 60. Then, using a random number generator, random numbers would be selected from each group. This would identify the principals from each stratum that would be sampled.

Using the survey data, if there is a predictable difference in the survey responses between principals based on other factors, such as homophily, then the data will be divided further into additional strata as well. If no predictable differences are found, then the analysis will proceed based on only the two strata.

### **Data Collection**

With permission granted from the Institutional Review Board, then permission must be granted by each participating school district. Because the districts are known, the researcher will request permission from each of the districts to contact the principals. This request will be sent in the mail to each contact person at the district office. The request will detail the study, the principal investigators, the purpose and procedures, benefits and risks, proof of IRB approval, and a copy of the online survey and interview protocol (see Appendix C).

The survey represents Phase I of the research data collection process. Once district permission is granted, the principals will each be contacted via e-mail. The Utah State Office of Education maintains a current listing of dual immersion schools on their website (<http://www.schools.utah.gov/curr/dualimmersion/>). In the body of the e-mail will be a brief explanation that permission was granted by the school district to contact them, and a link to the online survey. A copy of the signed letter of approval will be attached to the body of the e-mail. No other recruiting techniques will be used. Following the link to the online survey, the principal will then be taken to a page outlining the study again, with a choice of whether or not they agree to the implied consent form. By clicking "I agree," they will be taken to the survey; otherwise, by selecting "I do not agree," the survey will terminate. The survey instrument and the implied consent form can be found in Appendix D.

The survey will consist of 19 demographic questions related to the principal and the school. It will also include a section of 14 multiple-choice Likert questions and 8 open-ended questions. The survey should be able to be completed in 20-30 minutes. Results will be available electronically and stored in a secure location on a password-protected hard drive or within a password-protected secure web server located on the Qualtrics website.

In order for the survey to be reliable and valid it must “address the intended content; elicit accurate information; and measure consistently” (Groves et al., 2004, p. 37). Therefore, the survey will be thoroughly reviewed by the research committee prior to sending it to the principals. This committee will confirm that the content and length is appropriate, and that no technical issues exist with the survey instrument. They will also verify that the questions on the survey instrument adequately answer the research questions.

At the completion of the survey, the 17 principals, based on true random selection, will be contacted, and dates and times will be set up for interviews. The interview guide can be seen in Appendix E. This will begin Phase II of the study, which will employ the stratified random sample. The researcher will conduct these interviews at the school or place of residence of either the researcher or the principal. In some instances, the principal may elect to participate in an interview via telephone or some other online media such as Skype or Face Time. Because of the distance between the researcher and some principals, this will allow the researcher to include all principals within the sample population and be totally unrestricted geographically. This also allows for further sophistication of the sample. The principals will be contacted via e-mail or telephone to schedule the date, time, and place of the interviews. Attached to the e-mail, the researcher will enclose a copy of the consent form (Appendix F). For face-to-face interviews, the researcher will then have the principal sign and date the consent form before proceeding with the

interview. For telephonic interviews, the researcher will have still received the consent form, and then will need to receive oral consent prior to conducting the interview.

After two to four principals have been interviewed, the researcher will analyze the data at a basic level to allow for some possible adjustments. If questions have to be changed or additional questions added, then the researcher will make these changes before completing the remainder of the interviews. The researcher will then continue to perform interviews until the data is saturated enough to identify specific themes and answer the research questions (Flick, 2007; Gibbs, 2007).

The interview will begin with very basic demographic questions (since the principal would have already provided this data in the survey), followed by open-ended questions. All interviews will be recorded and transcribed, and these recordings and transcriptions will be placed on the researcher's password-protected computer for analysis. In addition, the research team will review the interviews to ensure the transcriptions are accurate in order to impart greater confirmability to the study (Corbin & Strauss, 2008). All transcriptions will be done within NVivo 10, research software that allows the researcher to collect, organize, and analyze content from interviews, surveys, and more for qualitative and mixed-methods research.

The interviews will include open-ended questions, structured as episodic interviews (Kvale, 2007). The interview guide shows both the questions and the grouping of questions according to the types of information they will elicit. This type of semi-structured interview improves methodological triangulation by allowing respondents to reflect on their own ideas in response to the question, to come up with a definition of a key theme, as well as hypothesizing what someone else would do in a similar situation (Flick, 2007). Further triangulation will be possible between the survey instrument and the interview as well. The basis for this type of



interview was discussed by Kvale (2007) as including four parts: (a) briefing, (b) debriefing, (c) thematic questions, and (d) dynamic questions. The point is to understand the person's episodic and semantic knowledge on the topic. Again, this improves credibility by triangulating the types of data that are collected. This is reported by Flick (2007), who mentions these data types as situation narratives, repisodes ("regularly occurring situations"), examples, definitions, and argumentative-theoretical statements ("explanations of concepts and their relations"). Each question on the interview guide has been categorized as one of these types of question, as well as showing which research question it is addressing (Appendix F).

For all parts of the study, including the survey and interviews, the identities of the schools and the principals will be kept confidential, and the researcher will use pseudonyms when quoting from particular individuals to maintain their anonymity. All information and data will be stored in a locked cabinet and destroyed after the research is conducted, or held in a secure hard drive space, with appropriate virus protection and safeguards until the study is complete. If the report is published, the results will be coded such that the participants should not be identified. However, the state of Utah will most likely be mentioned in any research report.

### **Data Analysis**

For Phase I, the survey will be analyzed using basic descriptive statistics to identify patterns in responses. These charts and graphics will be included in the final report. The responses can also be linked to the individual principals, and will therefore be included in the qualitative analysis as well as attribute data. The survey will also provide some quantitative data that can be used to explore the research questions and also to triangulate the responses from the interviews that will be conducted in Phase II (Cox & Cox, 2008). Following Coxes' (2008) guidelines, the survey is written to be simple, clear, unambiguous, and understandable by the

population that is being surveyed. The survey will help to describe the population and make recommendations about the types of skills and traits needed for elementary dual immersion administrators (Creswell, 2003).

With the demographic questions, the researcher will analyze the various descriptive statistics and include these as attributes in the qualitative analysis. The descriptive statistics may include the means, frequencies, and standard deviations from the population as they relate to the research questions. For the Likert questions, there is only one type of scale being used, that of intensity. The intensity scale will measure the strength of importance towards a broad spectrum of skills and traits mentioned in the research literature (Cox & Cox, 2008). These data will allow a basic understanding of the importance that different principals place on those skills and traits that others have hinted at as being specific to dual immersion schools but did not confirm with research techniques. The open-ended questions will also be coded and included in the qualitative analysis as additional support, as well as linked with the interviewed principal's data to triangulate findings and bolster results. For instance, in NVivo, once the quantitative data are coded, they can also be attached as attribute data to the interview responses. This would allow the researcher to compare responses between principals who said that speaking the school's foreign language fluently was very important or extremely important with those who felt it was not important or somewhat important, just as an example.

Based on the interviews in Phase II, the researcher will analyze the qualitative data using the process of open-coding in NVivo (Saldana, 2009). This analysis will follow a grounded theory approach, which is described by Miles and Huberman (1994):

The trick here is to work with loosely held chunks of meaning, to be ready to unfreeze and reconfigure them as the data shape up otherwise, to subject the most compelling

themes to merciless cross-checking, and to lay aside the more tenuous ones until other informants and observations give them better empirical grounding. (p. 70)

To begin to identify a theme in the data during open-coding, the basic threshold level that will be used is 50%, meaning that if half of the informants mention the topic in their response, it will be included as a potential theme represented in the data. It may be possible that the initial 50% threshold level will need to be adjusted upward or downward based on the responses. As open-coding goes on, the researcher will develop themes or patterns from the data, which then becomes axial-coding (Corbin & Strauss, 2008). These themes will form the basis for the cross-case analyses, and the findings that will be presented in the final report. Specifically, the researcher will selectively code based on the patterns that are becoming apparent, allowing threshold levels to be adjusted to fit what the data is reporting.

Throughout the open-coding process it will be important to record reflections and ideas that arise, as well as connections that occur. These thoughts and impressions will be recorded in a research journal and included as part of the final analysis. This journal becomes a day-to-day commentary on what is occurring in the research (Gibbs, 2007). It includes what research is read, opinions held by the researcher about what is being discussed, as well as surprises, frustrations, hunches, and other pertinent and inconsequential information. The point of a research journal is to lend credibility, dependability, and transferability to this study (Erlandson, et al., 1993). It encourages thoughtful processing, eliminates bias, and helps to share any analytic ideas that come up.

Along with the research journal, the researcher's thoughts and impressions will be recorded in memos, which are often linked directly with a node in NVivo. Similar to a journal, memos allow the researcher to take a step back and think about the situations, and make

reflective remarks (Miles & Huberman, 1994). By being open and honest about one's own thinking, biases, and opinions, the researcher can improve confirmability and credibility. The key here is to allow the data to speak to the researcher, instead of the researcher forcing his or her views on what is mentioned (Erlandson, et al., 1993).

Once the data begins to reach saturation, and the nodes no longer change, the process of axial-coding will begin. The key to this part of the data analysis will be to identify patterns that occur across cases. To do this, the researcher will compare both themes and attributes in such a way as to see emerging patterns. These matrices, made up of rows and columns of data, will be an important part of the analysis process. They will push the researcher to consider the larger ideas that cases discussed, moving to more of a three- or four-dimensional understanding of the codes. This process will help in the creation of new categories, which are supported by the data at the threshold level of 50%, again initially. For this study, these matrices will be focused on the primary concerns addressed by the principals, as well as by the principals' attributes. These matrix queries will serve as the basis for the data analysis.

Using the grounded theory approach, it is very simple to arrange and rearrange codes, to include links to external research materials, identify themes and patterns, and process the large amounts of information. Using NVivo 10 aids in eliminating researcher error, by automatically updating codes and grouping pertinent information in logical ways.

The final aspect of data collection and then analysis really begins once themes are combined to create patterns, and then, based on the research question, using these patterns for analysis. During this process there are many potential issues that could be explored. However, based on the research questions, and looking specifically at the issues that emerge in the research journal, the researcher will focus on only one or two specific areas, which relate most closely to

the research questions. One of the benefits and drawbacks of doing qualitative research is that making these sorts of decisions may limit the results, but it is also important to have a focus, which is given in the research questions.

Based on these decisions, the researcher will employ various tactics to ensure that the findings are valid, repeatable, and accurate (Miles & Huberman, 1994). Counting plays an important role in this process. It is important to ensure that themes represent the majority of the cases, which is why a specific threshold level is used. It may be possible to raise the threshold level if the themes are well represented in the data or to pinpoint true points of contrast between principals.

Another tactic that will be used will be noticing patterns and themes and subjecting these themes and patterns to reflective criticism through the researcher's journals, memos, and peer reviews. This also will occur through peer debriefings, during which time the researcher and other experts will discuss and debate the themes, gauge their validity, and consider alternate solutions to looking at the data. This could be done with the same group of principals, with the research team, or with other professionals.

Additionally, it will be important to make contrasts and verify that no negative cases exist, as well as to determine representativeness among cases. This can be done through various text queries in NVivo, as well as using codes that target specific positive and negative aspects or tones within the interviews.

Together these tactics can assist with the confirmation of the findings, not to mention the transferability of the results. These and other techniques are important to improving the quality of qualitative research (Miles & Huberman, 1994).

The data that is found will include the themes and patterns selected for analysis. In addition, it will include direct quotes from informants on the topics that were found across cases. The software can also help to create graphs and tables, which could illustrate the connections between themes. Also, the researcher may present a new conceptual model at the end of the research to help illustrate the results the researcher found in the data. Finally, there will be numerous textual supports in the form of direct quotes, which will be included to improve confirmability.

The survey instrument data will be analyzed using the statistical software Minitab. All information regarding the number of ratable surveys and non-returns will be included in the results. Also, the variables will be reported in descriptive analysis, which will include the means, standard deviations, frequency distribution, and range of scores of the variables. The open-ended questions will be put into the NVivo 10 software and compared with the other emergent themes and patterns as discussed above. The reported findings from the open-ended questions will not be included as a separate analysis, but rather as further clarifying points to found in the interviews. The numeric data from descriptive statistics will also further enhance the usability and transferability of the results, by allowing the researcher to code responses based on key attributes that were identified as important in the census data. The charts available will show some of the initial differences between the one-way and two-way schools, as well as an overview of the principal responses, to begin to see what principals are thinking. The survey group also includes a larger group, which will be important to compare with the small group of interviewed participants.

### **Limitations and Delimitations**

As with any study, there are certain limitations that cannot be avoided. This acknowledgment helps to add face validity to the present research. There will most certainly be some issues with connecting the current accessible population to the broader target population of all dual immersion principals because the accessible population (dual immersion principals in Utah) is so unique. Although some comparisons can be made, there are limitations within the extent of these comparisons. In fact, at this stage, there is so little research that it is impossible to make comparisons until a clearer understanding of what could be compared is found.

As was mentioned, only principals' opinions are being collected, which limits the breadth of this study, which could have included interviews and surveys by parents, district officials, students, teachers, or others. Future studies may elect to triangulate these results with these other sources to consider what agreements or disagreements might occur in the findings.

This study involves current principals working in dual immersion elementary schools in the state of Utah. All but two schools in the state follow the state-approved requirements, and these are the only schools that will be included in this study. The two schools that will not be included are 90/10 private dual immersion schools. Because these two schools do not follow the same model, and are also not public schools, they are not directly comparable with the schools in this study. The remaining dual immersion elementary programs will be included.

The population is focused only on dual immersion schools and the principals in these schools. There will not be any interviews conducted with traditional elementary school principals in an effort to compare these two subgroups. Further research may consider venturing down this path, though this study is needed to present initial findings on the skills and traits. The results of this study can only be generalizable to elementary schools in Utah. Programs in the secondary or

preschool, or outside of the state, will most likely have different variables, which may affect the results found in this research.

### **Conclusion**

Dual immersion schools have grown in number and popularity in Utah and in other parts of America. These schools play a crucial role in educating the whole student, and preparing our youth to meet the global demands of an increasingly interconnected society. Being able to ascertain the skills and traits of dual immersion school principals and determine how these skills and traits are developed plays a critical role in improving student achievement for students in these schools. Many of these schools are just beginning in Utah, and the governor wishes future growth in the upcoming years. As these schools continue to grow and develop, it will be important for districts and principals to understand how training to develop specific sets of skills and traits can impact growth in their schools. In addition, it will assist principals and program coordinators as they work together to train principals to be successful in these schools, to successfully implement change in schools, train and develop teachers, and improve student learning.

The researcher hopes that this study will aid in the planning and creation of future principal preparation training sessions to acquire potentially essential skills. In addition, as other districts in the state adopt these programs, this research will hopefully serve as a foundation for the integration of one-way and two-way dual immersion programs throughout the state, outlining some of the potential differences that might exist in the types of leaders needed in these schools. The researcher hopes that others will see the benefits of dual immersion and use this research to prepare and train principals to be successful leaders of our children. Utah already has a strong



language presence, and improving principal leadership would allow these programs to flourish, thus allowing these dual immersion schools to continue for years to come.

## APPENDIX C: REQUEST LETTER FOR RESEARCH

**DISTRICT PERMISSION TO CONDUCT RESEARCH**

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Dear [NAME] of [School District],

**Invitation to Participate and Purpose of Research**

Ryan K. M. Rocque, a doctoral student at Brigham Young University, Provo, is conducting a research study entitled “Identifying Skills and Traits of Principals in Dual Immersion Schools.” You are being contacted to request permission for the express purpose of granting the principal investigator access to the principals of dual immersion elementary schools within your district to conduct this research study.

**Purpose**

The purpose of this study is to identify the skills and traits dual immersion elementary school principals may require in performing their unique functions. This information will be collected firsthand from principals currently working in dual immersion elementary schools in Utah. It is intended that this research will help to inform those who prepare in-service training for these dual immersion principals, colleges and universities who certify these principals, as well as state officials who are devoted to seeing the improvement of these programs. With a comprehensive understanding of the skills and traits, professional development for principals can be improved, making schools run more efficiently, and allowing students to see greater success.

**Procedure**

If the principals agree to participate in this study, they will be asked to participate in an online survey, and some may be interviewed at the school, via Skype or Face Time, or at their place of residence. Results from these inquiries will not be released to the public. The survey is online and should take approximately twenty minutes to complete. The interviews will take approximately one hour and, with their permission, will be audiotaped.

**Risk and Inconveniences/Benefits**

The potential risk includes sharing opinions and beliefs that might be personal in nature. Also, a principal’s time is valuable, and having a researcher take that time is an inconvenience. Finally, information and data in general will be available to the public about the findings, and the participant may be concerned about confidentiality. There are minimal risks to participation in the study.

To protect against these risks, data from the surveys and interviews will only be used for eliciting the principal’s opinions regarding the skills and traits of dual immersion principals. After the collection and analysis of data is completed, all data (hard copy or digital) will be returned to the school district or destroyed by the researcher. During research, the data will be kept in a locked filing cabinet, and all digital data will be held on a secure, password-protected hard drive. All other members of the research committee will not have access to the data, only external reports

available only on a “need to know” basis. The identities and names of principals, schools, staff, parents, and others will all be coded with pseudo names in the study and remain anonymous in any future publications.

The potential benefits to the principals and the schools are that they will have the opportunity to assist the researcher and state in identifying the skills and traits dual immersion elementary school principals specifically need to succeed. Doing so will allow the state and higher institutions of learning to develop professional development appropriate for dual immersion principals. Principal participation will also help the state to better understand individual principal needs and how to best prepare future principals. Often principals are not surveyed, although principal participation contributes to the field of education by informing the practice of teaching and learning in principal training programs at the university level and the state. Understanding these variables may have a positive impact on student learning and principal success.

### **Safeguards, Confidentiality, Voluntary Participation**

Participation in this study is voluntary, and the principal may withdraw from the study at any time without any effect. If the principal does not participate in this study, their name and school identity will not be affected in any way. They will still be able to continue to receive training and leadership help. Any personal identification will be omitted so that you, principals, and your schools will not be identifiable in the written analysis of the study. All information and data will be stored in a locked cabinet and destroyed after the research is conducted, or held in a secure hard drive space, with appropriate virus protection and safeguards until the study is complete.

### **Questions**

The Brigham Young University Institutional Review Board (IRB) has approved this study. If you have any questions about this study, you may direct questions to Ryan Rocque at 801-616-3073 or rkmrocque@gmail.com. You may also contact the researcher’s advisor/professor, Dr. Scott Ferrin at 801-422-4804. If you have any questions about your rights as a research participant, you may contact the Institutional Review Board (IRB) at 801-422-3841 or A-285 ASB, Brigham Young University, Provo, UT, 84602. You will be given a copy of this form.

### **Statement of Consent**

I have read, understood, and received a copy of the above consent and allow the researcher to contact the school principals and request that they participate in this study.

Name (Printed): \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## APPENDIX D: ONLINE PRINCIPAL SURVEY

Implied Consent**Invitation to Participate and Purpose of Research**

Ryan K. M. Rocque, a doctoral student at Brigham Young University, Provo, is conducting a research study entitled “**Identifying Skills and Traits of Dual Immersion Principals.**” You are being asked to participate in this study because you are the principal in one of the one-way or two-way dual immersion elementary schools in the state of Utah.

**Purpose**

The purpose of this study is to identify the skills and traits dual immersion elementary school principals may require in performing their unique functions. This information will be collected firsthand from principals currently working in dual immersion elementary schools in Utah. It is intended that this research will help to inform those who prepare in-service training for these dual immersion principals, colleges and universities who certify these principals, as well as state officials who are devoted to seeing the improvement of these programs. With a comprehensive understanding of the skills and traits, professional development for principals can be improved, making schools run more efficiently, and allowing students to see greater success.

**Procedure**

If you agree to complete this survey it should take **20 to 30 minutes**.

**Risk and Inconveniences/Benefits**

The potential risks include sharing opinions and beliefs that might be personal in nature. Also, a principal’s time is valuable, and having a researcher take that time is an inconvenience. Finally, information and data in general will be available to the public about the findings, and the participant may be concerned about confidentiality. There are minimal risks to participation in the study. To protect against these risks, data from the surveys will not identify the person surveyed.

The potential benefits to you, other principals, and the schools are that they will have the opportunity to assist the researcher and state in identifying the skills and traits dual immersion elementary school principals specifically need to succeed. Doing so will allow the state and higher institutions of learning to develop professional development appropriate for dual immersion principals. Principal participation will also help the state to better understand individual principal needs and how to best prepare future principals. Often principals are not surveyed, although principal participation contributes to the field of education by informing the practice of teaching and learning in principal training programs at the university level and the state. Understanding these variables may have a positive impact on student learning and principal success.

**Safeguards, Confidentiality, Voluntary Participation**

Participation in this study is voluntary, and you may withdraw from the study at any time without any effect. If you do not participate in this study, your name and school identity will not be affected in any way. You will still be able to continue to receive training and leadership help.

Any personal identification will be omitted so that you and your school will not be identifiable in the written analysis of the study. All information and data will be stored in a locked cabinet and destroyed after the research is conducted, or held in a secure hard drive space, with appropriate virus protection and safeguards until the study is complete.

**Questions**

The Brigham Young University Institutional Review Board (IRB) has approved this study. If you have any questions about this study, you may direct questions to Ryan Rocque at 801-616-3073 or rkmrocque@gmail.com. You may also contact the researcher's advisor/professor, Dr. Scott Ferrin at 801-422-4804. If you have any questions about your rights as a research participant you may contact the IRB Administrator at (801) 422-1461 or A-285 ASB, Brigham Young University, Provo, UT 84602. You will be given a copy of this form.

**Statement of Consent**

I have read and understood the above consent, which I am free to print and keep. I desire of my own free will to participate in this study. My consent is indicated by clicking on the below link and proceeding to the online survey.

**I. Demographic Information**

1. How long have you been a school principal or worked in administration in general?

- 2 years or less
- 3 to 5 years
- 6 to 10 years
- 11 to 15 years
- 16 years or more

2. How long have you been a principal of a dual immersion school?

- 2 years or less
- 3 to 5 years
- 6 to 10 years
- 11 to 15 years
- 16 years or more

3. What is your racial/ethnic background?

- Caucasian
- Asian
- African-American
- Native American

- Hispanic/Latino
- Other (please specify) \_\_\_\_\_

4. What is your age?

- Under 30
- 31 to 40
- 41 to 50
- 51 to 60
- 61 or older

5. What is your gender?

- Female
- Male

6. What languages other than English do you speak fluently? (Check all that apply)

- Spanish
- French
- German
- Chinese
- None
- Other (please specify) \_\_\_\_\_

7. Is this the only dual immersion school in which you have been a principal?

- Yes
- No

## II. Dual Immersion Program Information

8. What is the second language of instruction for the dual immersion program where you work?

- Spanish
- French
- Mandarin Chinese
- Portuguese
- Other (please specify) \_\_\_\_\_

9. What type of immersion program does your school represent?

- One-way immersion (All English speaking or less than 1/3 speak foreign language)
- Two-way immersion (At least 1/3 of students speak the foreign language)

10. Is your immersion program a strand within a school or a school-wide program?

- Strand  
 School-wide  
 Other (please specify) \_\_\_\_\_

11. How many years has your program been in place?

- This is the first year  
 2-4 years  
 5-7 years  
 8 years or more

12. What is the ethnic makeup of the students in your immersion program by percentage?

- % Latino/Hispanic  
% African-American  
% Caucasian  
% Asian  
% Other

13. What grade levels does your immersion program serve?

- Kinder or 1st through 3rd grade  
 Kinder or 1st through 6th grade  
 Kinder or 1st through 8th grade  
 Other (please specify) \_\_\_\_\_

14. How many students do you serve in your specific school's immersion program?

- Less than 200  
 201 to 400  
 401 to 600  
 More than 601

15. Is your school a Title I school?

- Yes  
 No

16. How many teachers are working in your immersion program? \_\_\_\_\_

17. Has your school recently adopted Utah's Model for Dual Immersion, or did your school begin with the Utah model?

- Previous dual immersion program that has now adopted the state model.  
 School began with and continues to use the state model.

18. What certification do your teachers **have to hold** to teach as dual immersion teachers in your school? Check **all** that may apply.

- CLAD or equivalent (Cross-Cultural, Language, and Academic Development)
- BCLAD or equivalent (Bilingual Cross-Cultural, Language, and Academic Development)
- No ELD authorization (English Language Development)
- ARL (Alternative Route to Licensure)
- University graduate with a dual immersion endorsement
- Not applicable

19. What type of additional funding does your school receive to support/operate your immersion program? Check **all** that apply.

- Title III
- SIP
- EIA
- District allocation
- Private donations
- Grant
- USOE allocation
- I don't know
- Other (please specify) \_\_\_\_\_

**III. Skills and Traits Rating**

1. Please rate the following skills and traits according to your views of what is important for a principal/administrator of a successful **dual immersion program**.

	Not Important	Somewhat Important	Important	Very Important	Extremely Important
Create a sense of community	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provide resources	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Understand theory & practice	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Advocate for the program	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Inspire & motivate faculty	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Communicate with others about the program	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Build relationships with faculty	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Observe, evaluate & train teachers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Encourage cohesion between dual immersion teachers and other teachers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Learn about dual immersion	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Speak a foreign language	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Praise teachers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



Challenge status quo		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Set goals and follow up		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

#### IV. Open-Answer Section

This last section of the survey allows you to share and expand on the views you have expressed in this survey and the qualities you think are important to a successful dual immersion program. Your input and recommendations are essential. Please do not feel like you have to limit your responses. There are only 8 questions, so feel free to write as much as you feel is needed to clearly describe your opinion or views on the topic.

1. What do you feel are the skills and traits you possess that are the most helpful in allowing you to successfully run a dual immersion elementary school? (R1)
2. What are a few of the major concerns or issues that you have struggled with as a dual immersion principal, and what specifically have you received in terms of training or professional development to assist you in facing and beating those challenges? (R3)
3. What questions or topics would you like to receive further instruction or professional development on to improve your ability to fulfill your role and to gain the skills and traits required to be a dual immersion administrator? (R3)
4. What gaps do you feel exist for you between the skills and traits you have and use and those skills and traits you wish you had access to as it pertains to training and professional development as a dual immersion principal? (R3)
5. Are there skills or traits you believe principals in a dual immersion school should possess that may not necessarily be as important or needed if you were working in a traditional elementary school? Please explain. (R1)
6. What strategies do you use to help you fulfill your responsibilities as a dual immersion principal? (R1)
7. In your opinion, in what ways do principals at one-way immersion schools (where the student population in their classes does not speak or understand the target language) require a different set of skills or traits than principals at two-way immersion schools (where at least a third of the students in the dual immersion classroom speak and understand the target language)? (R2)
8. What have you heard or believe principals at other dual immersion schools (one-way or two-way) are doing to gain the skills and traits they need to be successful? (R2)

## APPENDIX E: INTERVIEW GUIDE

Thank you for your willingness to participate and be interviewed. I have taught French for some years now, and I am attempting to understand traits principals have and the skills you feel principals need to run a dual immersion elementary school. I also wish to understand better the role professional development has had to assist you in gaining the skills and traits needed to be a successful dual immersion principal.

The interview will take approximately one hour, and with your permission I will be using a tape recorder to record this interview. Your answers will remain anonymous. You are not being paid to be involved in this research. The interview involves minimal risk to you. The benefits, however, are that you will be able to provide important insights into the skills and traits required to run a dual immersion school. You do not have to be in this study if you do not want to be. You do not have to answer any question that you do not want to answer for any reason. I am happy to answer any questions you have about this study or any future research questions—I would be happy to answer those as well.

I will be asking you to look back at your principalship and leadership career and ask you to talk about specific situations you have had as a dual immersion principal or perhaps as the principal of another type of school. I may also ask you to talk about the experiences of others. These stories will fill up the bulk of our interview.

Now, do you have any questions for me before we start the interview?

Because you already participated in the online survey, I do not need to ask you any questions specifically; however, if you would please state your name and the name of the school you work at, that would be appreciated.

Demographic Variables – Used as a lead-in and to possibly identify post-stratification criteria:

1. Describe any cultural or international experiences you've had that would prepare you to work with a linguistically and culturally diverse staff at this immersion school.
2. Describe the mission of your school, the demographics of your student population, the community, the culture and nature of your elementary school.

Research Questions	Types	Question
Do the opinions of the required skills and traits differ between principals of one-way and two-way dual immersion programs, and if so, how do they differ?	Definition	What is that for you, “one-way and two-way immersion”? What do you link with the word “immersion”?
	Situation Narrative	If you look back, what was your first encounter with being a principal in an immersion setting? Could you please recount that situation for me?
	Repsisodes	Do you have the impression that particular types of immersion schools (two-way or one-way) determine the skills and traits you might require? Could you please tell me a situation that makes that clear for me?
	Examples	What sorts of traits or skills of one-way or two-way dual immersion principals have you heard other principals describe as helpful in having success? Can

		you please tell me an example that makes this clear for me?
	Stereotypes	Which traits and skills in the area of one- and two-way immersion education do you believe to be necessary to have the greatest impact on student achievement in the near future? Please imagine, and tell me a situation that would make this clear for me.
	Examples	Can you explain how you feel a principal in a two-way immersion school might require certain skills and traits that a principal of a one-way school would not, or vice-versa? Can you please tell me an example that makes this clear for me?
What do dual immersion principals identify as the skills and traits that lead to success in dual immersion contexts?	Definition	How would you define “skills” and “traits”? What is linked with those words for you? How are they different or the same?
	Situation Narrative	Have you had to acquire or use specific skills to allow you to be an advocate for the school, help students and teachers improve, or in other requirements of the job? Can you tell me an example that would make that clear for me?
	Repsisodes	Do you have the impression that the traits and skills you have needed have changed while being principal of a dual immersion school? Please tell me a situation that makes this clear for me.
	Situation Narrative	Would you please tell me how your day went (yesterday) in your school? How, when, and in what ways did the use of specific skills or traits play a role in the outcomes of the day?
	Examples	Can you explain the specific skills or traits that you or other principals of dual immersion schools possess that make them successful as a dual immersion principal? Can you think of a situation or story that would make that clear?
What training or professional development do current dual immersion principals say they have received, how do they feel this training has helped them to be a successful dual immersion principal, and what gaps do they feel still exist?	Definition	What is professional development, in your own words? What is connected to it?
	Examples	In your opinion, should professional development for dual immersion principals be promoted? Can you tell me a situation that would make that clear for me?
	Situation Narrative	When you think back, what have been some of the ways that you have gained the skills and traits you have needed to be a successful dual immersion principal while participating in professional development or other trainings? Could you please tell me a situation that makes that clear for me?
	Repsisodes	In your opinion, how have other principals or state officials used professional development for principals

		to help you gain certain traits or skills? Can you relate an experience that describes that for me?
	Stereotypes	Imagine if you will professional development for principals in Utah. Tell me, if you would please, a situation that would explain how the state could best approach training dual immersion principals.
	Examples	Can you please name two or three things that you feel would fill the gaps on the specific skills or traits a principal would require to be successful in a dual immersion school? Could you tell me a situation that would make that clear?

Follow-Up. Was there anything that you would like to add that was not covered during this interview that you feel might be of value to this study?

Note. Interview questions were developed based on research (Hunt, 2009; Locke, 2004; Walliser, 2009).

## APPENDIX F: INTERVIEW CONSENT FORM

**PRINCIPAL CONSENT FORM TO CONDUCT RESEARCH**

---

Dear [NAME],

**Invitation to Participate and Purpose of Research**

Ryan K. M. Rocque, a doctoral student at Brigham Young University, Provo, is conducting a research study entitled “Identifying Skills and Traits of Principals in Dual Immersion Schools.” You are being asked to participate in this study because you are the principal in one of the one-way or two-way dual immersion elementary schools in the state of Utah.

**Purpose**

The purpose of this study is to identify the skills and traits dual immersion elementary school principals may require in performing their unique functions. This information will be collected firsthand from principals currently working in dual immersion elementary schools in Utah. It is intended that this research will help to inform those who prepare in-service training for these dual immersion principals, colleges and universities who certify these principals, as well as state officials who are devoted to seeing the improvement of these programs. With a comprehensive understanding of the skills and traits, professional development for principals can be improved, making schools run more efficiently, and allowing students to see greater success.

**Procedure**

If you agree to participate in this study, you will either be interviewed at the school, via Skype or Face Time, or at your place of residence, depending on what you prefer. Results from these inquiries will not be released to the public. The interviews will take approximately one hour and, with your permission, will be audiotaped.

**Risk and Inconveniences/Benefits**

Your survey results and your participation are anonymous. You cannot be identified. The potential risks of this research could include any discomfort you might feel at sharing opinions and beliefs that might be personal in nature. Also, a principal’s time is valuable, and having a researcher take that time is an inconvenience. Finally, information and data in general will be available to the public about the findings, and the participant may be concerned about confidentiality. There are minimal risks to participation in the study.

To protect against these risks, data from the surveys is anonymous and will only be used for eliciting your opinions regarding the skills and traits of dual immersion principals. After the collection and analysis of data is completed, all data (hard copy or digital) will be returned to the school district or destroyed by the researcher. During research, the data will be kept in a locked filing cabinet, and all digital data will be held on a secure, password-protected hard drive. All other members of the research committee will not have access to the data, only external reports

available only on a “need to know” basis. The identities and names of yourself, other principals, schools, staff, parents, or others will be coded using pseudo names, allowing all entities to remain anonymous in any future publications.

The potential benefits to you, other principals, and the schools are that they will have the opportunity to assist the researcher and state in identifying the skills and traits dual immersion elementary school principals specifically need to succeed. Doing so will allow the state and higher institutions of learning to develop professional development appropriate for dual immersion principals. Principal participation will also help the state to better understand individual principal needs and how to best prepare future principals. Often principals are not surveyed, although principal participation contributes to the field of education by informing the practice of teaching and learning in principal training programs at the university level and the state. Understanding these variables may have a positive impact on student learning and principal success.

### **Safeguards, Confidentiality, Voluntary Participation**

Participation in this study is voluntary, and you may withdraw from the study at any time without any effect. If you do not participate in this study, your name and school identity will not be affected in any way. You will still be able to continue to receive training and leadership help. Any personal identification will be omitted so that you and your school will not be identifiable in the written analysis of the study. All information and data will be stored in a locked cabinet and destroyed after the research is conducted, or held in a secure hard drive space, with appropriate virus protection and safeguards until the study is complete.

### **Questions**

The Brigham Young University Institutional Review Board (IRB) has approved this study. If you have any questions about this study, you may direct questions to Ryan Rocque at 801-616-3073 or rkmrocque@gmail.com. You may also contact the researcher’s advisor/professor, Dr. Scott Ferrin at 801-422-4804. If you have any questions about your rights as a research participant, you may contact the Institutional Review Board (IRB) at 801-422-3841 or A-285 ASB, Brigham Young University, Provo, UT, 84602. You will be given a copy of this form.

### **Statement of Consent**

I have read, understood, and received a copy of the above consent and desire of my own free will to participate in this study.

Name (Printed): \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## APPENDIX G: PERMISSIONS FOR USE OF TABLES AND FIGURES

From: **Michael Mumford** Hide  
 Subject: RE: Request to reprint figure  
 Date: March 4, 2014 7:06:50 AM MST Inbox - Ryan Personal 2  
 To: Ryan K Rocque

ryan: you have my permission to reprint this figure. best. mike mumford

From: Ryan Rocque [[rkrocque@gmail.com](mailto:rkrocque@gmail.com)]  
 Sent: Monday, March 03, 2014 11:03 PM  
 To: Mumford, Michael  
 Subject: Request to reprint figure

Dear Dr. Mumford,  
 I am working on a Dissertation at Brigham Young University in Educational Leadership. I would like to request permission to reprint the figure shown below in my dissertation entitled: Identifying

[See More](#)

separate request later, or if you can grant both now, that would be great.

Sincerely,  
 Ryan Rocque

**Permissions** <permissions@cal.org> Feb 19  
 to me

Permission is granted to use the chart "Growth of TWI Programs, 1962-Present" in both your dissertation and a future article to be submitted to as yet unnamed journals as long as the source line is included and you indicate that you are using the chart with permission from the Center for Applied Linguistics.

Thank you for your interest in our materials, and best wishes for the completion of your dissertation.

Sincerely,

Jeannie Rennie, Manager  
 Publications and Product Development  
 Center for Applied Linguistics  
 4646 40th Street NW  
 Washington, DC 20016

202-355-1501 (voice)  
 202-363-7204 (fax)

Visit us on the web at [www.cal.org](http://www.cal.org)

From: **Tell Me More** Hide  
 Subject: RE: Request to reprint material Inbox - Ryan Personal 4  
 Date: March 4, 2014 8:09:46 AM MST  
 To: Ryan K Rocque

Yes of course Ryan, go ahead, you have my permission, which you can use both in your dissertation and any journal article. I know you'll observe the usual citation rules. I hope your writings are well received.

Regards  
 James Scouller

**James Scouller**  
 The Scouller Partnership

Website: [www.thescoullerspartnership.co.uk](http://www.thescoullerspartnership.co.uk)  
 Phone: +44 (0)1525 718023  
 Email: [jmcs@thescoullerspartnership.co.uk](mailto:jmcs@thescoullerspartnership.co.uk)

From: **Stephen Humphrey**  [Hide](#)  
 Subject: Re: Request to reprint material  
 Date: March 12, 2014 7:33:24 PM MDT  
 To: Ryan K Rocque  
 Cc: dsderue@umich.edu , Jennifer.Nahrgang@asu.edu , Edward.Wellman@asu.edu

1 Attachment, 108 KB [Save](#) [Quick Look](#)

Hi Ryan,

I think we would all be fine for you to use this in your dissertation, with attribution. In terms of publication at a journal, you would need to clear it with Wiley (the publisher of Personnel Psychology), as they own the copyright.

Regards,

Stephen

On Mar 12, 2014, at 9:30 PM, "Ryan Rocque" <[kmrocque@gmail.com](mailto:kmrocque@gmail.com)> wrote:

[Scott and others,](#)

I am writing again, to ensure you received my request to reprint a figure. This was from your 2011 article in Personnel Psychology entitled "Trait and behavioral theories of leadership: An integration and meta-analytic test of their relative validity." I have attached the figure in question here. Please let me know if you would grant me permission to include it in my dissertation.

Sincerely,

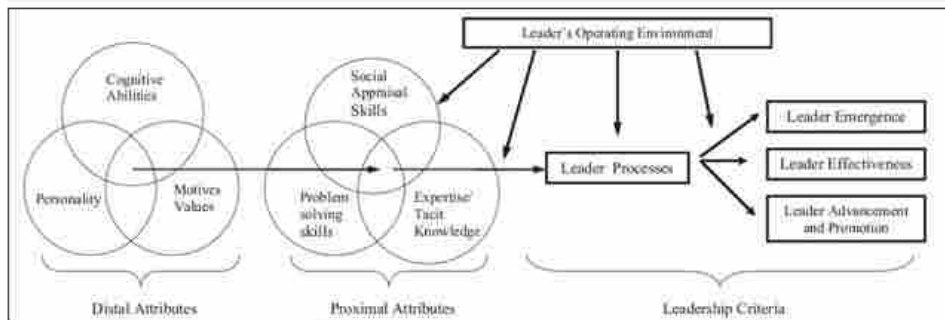
Ryan Rocque

From: Ryan Rocque <[kmrocque@gmail.com](mailto:kmrocque@gmail.com)>  
 Subject: Re: Request to reprint figure  
 Date: March 12, 2014 at 7:18:06 PM MDT  
 To: Stephen J Zaccaro <[szaccaro@pmu.edu](mailto:szaccaro@pmu.edu)>

Steve,  
 Wasn't sure if you received the image yet. Here it is again. This was the research by you and Deanna Banks in 2004 on skills of competent leaders.

[See More](#)

Steve,  
 Wasn't sure if you received the image yet. Here it is again. This was the research by you and Deanna Banks in 2004 on skills of competent leaders.





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