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What high school principals do to develop, implement, and sustain a high functioning character education initiative

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WHAT HIGH SCHOOL PRINCIPALS DO TO DEVELOP, IMPLEMENT, AND

SUSTAIN A HIGH FUNCTIONING CHARACTER EDUCATION INITIATIVE

By

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Abstract

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What high school principals do to develop, implement, and sustain a high functioning character education initiative

Chairperson: Dr. Patty Kero

Principal leadership is crucial to the success of a high school character education initiative. The purpose of this qualitative grounded theory research was to identify the roles and effective practices that high school principals utilize in developing, implementing, and sustaining a high functioning character education program. Fourteen high school principals from around the country, representing different schools, were interviewed one-on-one through Skype, Google Hangout, or by telephone. Data were collected during these one-on-one semi-structured interviews and analyzed through three separate coding procedures: (a) open coding, (b) axial coding, and (c) selective coding. Open coding analyzed the concepts emerging from the interview data and relationships among the concepts were revealed. Six categories emerged from the data: (a) Cultural Engineer, (b) Plate Peddler, (c) Collaborative Leader, (d) Reflective Leader, (e) Moral Leader, and (f) Champion. Data were decontextualized and microanalyzed in relation to the categories through axial coding procedures. The axial coding process revealed interrelationships between the data that were not initially evident. Selective coding, the final stage of the coding process, was applied to the data and focused on a macroanalysis that was provided in an explanatory narrative. The narrative synthesized the relationships that emerged from the data around a core category—"Principal Leadership in a Character Education Program." The narrative report described the basis of the study's findings and explored the interrelationships between the categories.

The first finding from this study outlines the roles high school principals play in the phases of a character education initiative—development, implement, and sustainment. Throughout these three phases a high school principal plays a combination of the roles of: (a) Cultural Engineer, (b) Plate Peddler, (c) Collaborative Leader, (d) Reflective Leader, (e) Moral Leader, and (f) Champion. The second finding describes the various exceptional practices of principals in a high school character education initiative that are exercised during the three phases. The third finding reveals and describes a detailed timeline in developing, implementing, and sustaining a character education initiative. The timeline outlines the roles and exceptional practices that are utilized at the different phases to ensure the sustainability of the character education initiative.

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The completion of this research could not have taken place without the contributions and encouragement of many people. There were many that sacrificed and contributed their own time, energy, and input in the development of this project.

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I would also like to thank Dr. Thomas Lickona who has been helpful throughout the research process and encouraged me to focus on character education on high school principals. Character Education Partnership was also so supportive in the research by providing a letter of support and the numerous requests for information about the organization, NSOC applications, and literature. Many other professors and educators deserve thanks for their insights, encouragement, and guidance that they have given me throughout the years.

Without the willingness of principals to volunteer for this project, no research could have occurred. My heartfelt thanks and appreciation are due to the generous principals who offered their experiences, good and bad, in establishing a character education program. Their hard work, examples, and dedication to their students, community, and schools are humbling and inspiring. These are some of the best educators in the country and no amount of thanks can be given for all their efforts.

I am grateful to everyone who helped me reach this milestone and who have influenced and mentored me throughout my life. I hope I can return the support, care, and patience to others.

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Chapter One: Introduction to the Study

"To educate a person in mind and not in morals is to educate a menace to society"

–Theodore Roosevelt (Lickona 1993, p. 6).

Turning on the evening news a person can see the turmoil that is taking place across the world. In the U.S., violence and crime affects many directly and indirectly from infants to the elderly and the need for reform is necessary. Many educators, politicians, and scholars believe that the people doing these criminal acts have not been taught basic values of right and wrong while they were being raised at home or taught at school (Hayes, Lewis, & Robinson, 2011). Throughout history "education has had two great goals: teach people to be smart and to help them to be good" (Lickona, 1993, p. 7). Character education, teaching students to be good, is one way in which society has and will continue to combat these behaviors (Schwartz, 2008). Studies have shown that effectively led character education initiatives have helped in "establishing classroom and school communities that increase student bonding to school, attendance increases and dropout rates decrease" (Schwartz, 2008, p. 2). In order for character education to be done successfully it should be a central focus of schools and started early in a child's education and continued through graduation. School principals recognize the need for character education initiatives to improve school climate and academic outcomes (Berkowitz, 2012). Principals are key in ensuring a school character education initiative is successful and they are often are not well prepared for leading an effective character education initiative (Berkowitz, 2011). School leaders must be well prepared to lead effective character education initiatives to help teach the values that will assist students to be productive citizens.

School administrators recognize that there are many benefits from effective character education initiatives to schools and to society (Berkowitz, 2008). Schools have always had "two major purposes—cognitive-academic development and character formation" (DeRoche & Williams, 2001, p. xv). A character education initiative has shown to support and make student academic development more effective when it is led and directed by leaders that make character education a priority (Battistich, 2008). Effectively led character education initiatives have shown to "enhance the effectiveness of teaching and learning" (DeRoche & Williams, 2001, p. xv). Many school administrators see the need for a character education initiative, but often are unsure how to implement and sustain one (Berkowitz, 2008).

In order to have an effective character education initiative, where youth will be best prepared to be productive citizens, there must be strong leadership (DeRoche & Williams, 2001). Educational leaders play important roles in developing, implementing, and sustaining a character education initiative in a school or district (Schwartz, 2008). This study focused on what high school principals, in high functioning character education programs, do to ensure that the character education initiative is successful. The first chapter focuses on the problem of leading a high functioning character education initiative, the purpose of the study and how it addresses the problem. The central question, that drove the study, is explored and definitions of specific terms related to the study are explained. The limitations and delimitations that give the study its boundaries are described below, along with the significance of the research, and how it will benefit schools that are implementing character education initiatives.

Problem

School leaders around the country are implementing character education

initiatives to combat negative student behavior, to improve academic outcomes and

school climates (Battistich, 2008). Schools leaders have to be experienced not just in

instruction and curriculum, but also in the moral development of their students. Many

organizations have been formed to support school leaders and families promote good

morals and values and to combat the deterioration of civility. The United States Congress

has shown support for an increase of character education to be taught in schools by

adopting the Partnerships in Character Education Act (Partnerships in Character

Education Pilot Project Program, 2001). Part of this Act reads as follows:

> The projects will help states work with school districts to develop curriculum
>
> materials, provide teacher training, involve parents in character education and
>
> integrate character education into the curriculum. Each project will design
>
> activities to incorporate six elements of character—caring, civic virtue and
>
> citizenship, justice and fairness, respect, responsibility, and trustworthiness. (p. 1)

Many school administrators across the United States have adopted and implemented a

character education program (U.S. Department of Education, n.d.). Some character

education programs work very well and others struggle to get off of the ground due to

poor training of staff and administrators and lack of understanding of what a quality

character education entails (Berkowitz & Bier, 2004). Many character education

programs that are "implemented and/or prescribed [by principals are] based on intuition,

marketing, or chance" (Berkowitz & Bier, 2007, p. 30). There are many grants,

legislation, and state standards that support character education, but the real problem is

found in the lack of impact some character education initiatives have on a school

discipline problems and the overall development of students (U.S. Department of

Education, n.d.). These character education programs are weak due to lack of

understanding and purpose of the role school leaders in a character education program

(DeRoche, 2001). There are few studies that have evaluated the roles and responsibilities

a leader plays in an effective character education initiative (DeRoche, 2001). In order to

implement an effective character education program principals "need to develop the

commitment and motivation to lead a character-education initiative effectively"

(Berkowitz & Bier, 2004, p. 78). Further, most studies on character education have been

"done at the elementary level (up to Grade 6)" (DeRoche & Williams, 2001, p. 27).

Secondary schools and leaders of these schools are left to develop initiatives based on

little research and less effective practices (Berkowitz & Bier, 2007).

Further, school leaders develop character education programs to obtain Federal

funds and other grants, but do not have time to share a vision with teachers, students, and

community members (U.S. Department of Education, n.d.). Principals are central to a

character education initiative's success and some fail due to poor planning or insufficient

understanding of the problems or pitfalls associated with the implemented program

(Berkowitz, 2011). Principal support is necessary for a successful character education

program and the principal must understand their roles to ensure the success of the

character education program (Schwartz, 2008). Berkowitz (2011) stated:

> At some point a light bulb has to go on as principals recognize that the
>
> development of character of their students is a prime purpose of schooling, and
>
> that they as the school leaders, have to be at the helm of that journey. (p. 103)

Thus the key to better implementation of a character education initiative is through the training of the principal to help them understand and exercise the best practices in developing, implementing, and sustaining a character education initiative. In order for principals to develop, implement, and sustain a character education initiative, they must know the best practices and roles that they are to utilize to ensure that the initiative is successfully maintained.

Purpose

The purpose of this qualitative grounded theory study was to discover how high school principals from high functioning character education initiatives develop, implement, and sustain a character education initiative. The grounded theory approach is "a qualitative research design in which the inquirer generates a general explanation (a theory) of a process, action, or interaction shaped by the views of participants" (Creswell, 2007, p. 63). The focus was to explore how principals of high schools recognized as National Schools of Character from the Character Education Partnership (CEP), a leading advocate organization for character education, have implemented successful character education initiatives. Articles, schools' National Schools of Character applications and past surveys conducted by CEP were evaluated. Also, fourteen candidates were interviewed to explore their perceptions of leadership behaviors, beliefs, roles, and exceptional practices that have led to the developing, implementing, and sustaining of a CEP character education initiative. These results will assist in helping other principals throughout the country in understanding the successful practices in developing, leading, and sustaining a character education initiative.

Research Question

Research questions guide researchers and these questions are "concerned with unknown aspects of a phenomenon of interest" (Teddlie & Tashakkori, 2009, p. 5). The central question of this grounded theory study "is a broad question that asks for an exploration of the central phenomenon or concept in a study" (Creswell, 2009, p. 129). This question is the broadest question that is the foundation for the study:

How do high school principals develop, implement, and sustain a high

functioning character education initiative?

The central question drives the study with several related subquestions found in Chapter Three that were also addressed in the research.

Definition of Terms

In order to best understand the concepts related to the study, definitions are given for terms that will be used repeatedly throughout the study. This section reviews and identifies the "definition of terms that readers will need in order to understand a research project [and] terms that individuals outside the field of study may not understand and that go beyond common language" (Locke, Spirduso, & Silverman, 2007, p. 17). For the purpose of this study, the following terms are defined:

Character. CEP defines character as "knowing, caring about and acting upon core ethical values such as caring, honesty, fairness, responsibility and respect for self and others" (Berkowitz & Fekula, 1999, p. 18).

Character education. The Character Education Partnership defines character education as the, "intentional effort to develop in young people core ethical and

performance values that are widely affirmed across all cultures" (Lickona, Schaps, & Lewis, 1995).

Character Education Partnership (CEP). The CEP is the leading national organization for character education and it endorses a comprehensive approach to character education. The Character Education Partnership (CEP) is

> A nonpartisan coalition of organizations and individuals dedicated to developing moral character and civic virtue in our nation's youth as one means of creating a more compassionate and responsible society. The CEP has grown to be an umbrella organization for national character education efforts. It provides a National Resource Center which distributes information, support for school boards, teachers and administrators, and publications and annual meetings. The CEP offers a variety of special projects including National Schools of Character Awards, newsletters, other publications, and a research division. (CEP About us, 2010)

Members of the organization include representatives from business, labor, government, youth, parents, churches, the media, and others.

Grounded theory. "A strategy of inquiry in which the research derives general, abstract theory of a process, action, or interaction grounded in the views of participants" (Creswell, 2009, p. 13).

Morals. The "principles, standards, or habits with respect to right or wrong in conduct" (Neufeldt & Guralnik, 1991, p. 882).

Morality. "The character of being in accord with the principles or standards of right conduct" (Neufeldt & Guralnik, 1991, p. 882).

National Schools of Character (NSOC). Schools that can demonstrate excellence in character education, as measured by CEP's *11 Principles of Effective Character Education*, are nominated for the State School of Character Award (Lickona, Schaps, & Lewis, 2003). Schools and districts that are recognized for reaching a standard of excellence at the state level are sent to CEP for evaluation at the national level. If they are again determined to have met a standard of excellence, they are named National Schools of Character (for 5 years). These schools become part of a national network of schools of character that serve as models and mentors to other educators (National schools of character, 2010).

QSR-NVivo. NVivo is software that supports qualitative research. It lets the researcher collect, organize, and analyze content from interviews, focus group discussions, surveys, audio, social media, and webpages (QSR International, 2013a). It has been designed for qualitative researcher working with very rich text-based and/or multimedia information, where deep levels of analysis on small or large volumes of data are required (QSR International, 2013b).

Qualitative research. Denzin and Lincoln (2005) in *The Handbook of Qualitative Research* define qualitative research as:

A situated activity that locates the observer in the world. It consists of a set of interpretive, material practices that make the world visible. These practices transform the world. They turn the world into a series of representations, including field notes, interviews, conversations, photographs, recordings, and memos to the self. At this level, qualitative research involves an interpretive, naturalistic approach to the world. This means that qualitative research study

things in their natural settings, attempting to make sense of, or interpret, phenomena in terms of the meanings people bring to them. (p. 3)

Virtues. "General moral excellence; right action and thinking; goodness or morality" (Neufeldt & Guralnik, 1991, p. 1491).

Values. "The social principals, goals, or standards held or accepted by an individual, class, or society, etc." (Neufeldt & Guralnik, 1991, p. 1474).

Delimitations

The delimitations according to Creswell (2009) "define the parameters of the research study" and are those characteristics that give the study its boundaries and articulate the site and participants (p. 113). The boundaries of the study consisted of 14 high school principals that are part of schools that have been recognized by the CEP and have been awarded the National School of Character Award. High schools of varying school sizes and types were chosen from different areas of the country.

Limitations

According to Creswell (2003), a researcher needs to "provide limitations to identify potential weaknesses of the study" (p. 148). The researcher was aware of the limitations and the threats to the transferability, which were inherent in the study, and understood that nothing could be done about them due to the nature of the problem and study. The limitations related to this study were:

- Social desirability. The respondents to the interviews may have provided the answers they believe the researcher wanted or what was perceived to be culturally acceptable and positive, rather than giving their honest opinions (Nardi, 2006, p. 78).

- Many other schools that are not part of the CEP have effective character education initiatives that are not represented.

- The grounded theory approach does not include observations. As a result, the perceptions of the principals interviewed may have viewpoints that transfer only to comparable populations.

- Principals were contacted by telephone initially to volunteer to be interviewed at a later time. This may have left the researcher with individuals who wanted to talk about character education, but may not represent a complete view of all principals who have received the National School of Character Award.

- Interviews provided indirect information filtered through the views of interviewees (Creswell, 2009, p. 179).

- Researcher's presence may have biased responses in interviews (Creswell, 2009, p. 179).

- The role of the interviewer, whose style and personal characteristics (such as gender, race, sexual orientation, age, etc.), may have affected the respondents' answers (Nardi, 2006, p. 70).

- Reading standardized items from an interview questionnaire involves tone of voice, body language, and other styles that may have created a different meaning for various respondents (Nardi, 2006, p. 70).

- Not all people are equally articulate and perceptive in interviews (Creswell, 2009, p. 179).

Significance of the Study

Proper values that make up good character are under attack, according to the former Secretary of Education Rod Paige (2007):

Sadly, we live in a culture without role models, where millions of students are taught the wrong values—or no values at all. This culture of callousness has led to a staggering achievement gap, poor health status, overweight students, crime, violence, teenage pregnancy, and tobacco and alcohol abuse. Good character is the product of good judgments made every day. (p. 1)

There is an increasing need for strong character education initiatives in schools to help in creating a strong, positive, learning environment and in a broader sense, to ensure that society is strengthened for the future. The call for character education is being heard by school administrators around the country. Many of these administrators are responding and striving to implement character education initiatives. There is a strong need for school administrators to know and exercise the best practices in leading character education initiatives. School administrators recognize that character education helps in addressing current educational issues from school behavior initiatives to improving overall test scores (Battistich, 2008). President George W. Bush (2001) echoed these thoughts in his inaugural address:

If we do not turn the hearts of the children toward knowledge and character, we will lose their gifts and undermine their idealism. Today we affirm a new commitment to live out our nation's promise through civility, courage, compassion, and character. (para. 16-19)

There is an increased need to make effective character education initiatives part of the foundation of schools. As more is required of schools, due to societal problems, principals are looking for ways to best prepare their students not just academically, but with characters that can be strong productive citizens (Haynes & Berkowitz, 2007). Principals are instrumental in effective character education initiatives and this study was designed to determine what high school principals do to develop, implement, and sustain a high functioning character education initiative.

The findings of this study have provided valuable information for school leaders, educators, and policy makers about leadership approaches for effective character education initiatives. These findings may impact implementation practices of character education programs by school administrators, districts, states, and the federal government. Principals will know the roles and effective practices that should be utilized to ensure the implementation of a character education initiative. Also, principals will be able to establish a character education program that creates a positive culture and environment where students feel safe and want to learn. There is a growing need for effective character education initiatives and leaders that support these initiatives and know how to most effectively lead them. Bob Chase, former president of the National Education Association issued a forceful call to action for character education to school administrators and teacher programs:

> We must make an explicit commitment to formal character education. We must
> integrate character education into the fabric of the curriculum and into
> extracurricular activities. We must train teachers in character education — both
> preservice and inservice. And we must consciously set about creating a moral

climate within our schools. (as cited in Benninga, Berkowitz, Kuehn, & Smith,

2006, p. 448)

The moral climate of a school starts with an effective school administrator who develops,

implements, and sustains a successful character education initiative that affects all aspects

of a school program. The end goal of this study was to understand what a high school

principal does in a high functioning character education initiative. Understanding the

operative leadership strategies that are used will allow schools and policy makers to more

effectively implement and sustain character education initiatives that will have lasting

effects on students and ultimately all of society. This grounded theory study benefits not

only the practitioners in the educational field but also researchers, policy makers,

communities, and families.

Summary

Character education is necessary for all schools to implement as we see a decline

of values and an increase in crime in society. This first chapter has introduced the study,

the problem associated with the study, the purpose, the central question, the delimitations,

the limitations, and the significance of the study. Character education focuses on teaching

proper values to students that best prepare them for entering society to be effective

citizens following the completion of school. Principals are integral in implementing and

maintaining an effective character education initiative. The purpose of this study was to

evaluate what a high school principal does in a high functioning school-wide character

education initiative. The study gives school administrators, policy makers, and

community leaders results that can be used to improve education and society.

The subsequent chapters address the related research, the method of this study, the analysis of the data, and the findings from the data and analysis. The second chapter reviews the literature about character education and principal's involvement in the developing, implementing, and sustaining of a model initiative. Chapter Three describes the methodology of the grounded theory study, the participants, and the data collection procedures. The fourth chapter presents the analysis of the gathered data through the presentation of themes. Chapter Five discusses the findings from the data and analysis, future research, and the implications of this study for practice and policy.

Chapter Two: Review of the Literature

The purpose of this study was to investigate how a high school principal develops, implements, and sustains a high functioning character education initiative. In Chapter Two research, theories, articles, and ideologies are reviewed that are related to character education and leadership behaviors and theories. The areas that are reviewed meet the three criteria recommended by Creswell (1994): "to present results of similar studies, to relate the present study to the ongoing dialogue in the literature, and to provide a framework for comparing the results of a study with other studies" (p. 37). This chapter describes the ways that philosophers, theorists, and researchers view character education and to review character education to broaden readers' understanding about it. Further, it explains a leader's role in the design, implementation, and sustaining of an initiative and specifically a character education initiative.

The purpose of the literature review is to share "with the reader the results of other studies that are closely related to the one being undertaken, [and to relate the study] to the larger, ongoing dialogue in the literature, filling in gaps, and extending prior studies" (Creswell, 2009, p. 25). The review of literature was developed based on the five criteria or categories suggested by Boote and Beile (2005):

1. Coverage. Justified criteria for inclusion and exclusion from the review.

2. Synthesis. Is designed to gauge how well the author summarized, analyzed, and synthesized the selected literature on a topic.

3. Methodology. Measures how well the author identified the main methodologies and research techniques that have been used in the field, and analyzed their advantages and disadvantages.

4. Significance. Measures how well the study rationalized the practical and

scholarly significance of the research problem.

5. Rhetoric. Measures whether the literature review was written with a coherent,

clear structure that supported the review. (pp. 7-9)

The research studies and articles are reviewed and described based on Boote and Beile's

(2005) recommended categories and are chosen based on how they relate, support or

build upon the successful practices high school principals utilizes in character education

initiatives in schools. The main areas of focus of this review will be on:

- The history of character education.

- The need for character education.

- Character education organizations.

- Components of successful character education initiatives.

- Results of successful character education initiatives.

- The development of leadership.

- The principal's role.

- Leadership and character education.

History of Character Education

Character education has played a major part of education throughout history and

the world and has been based on many things from religion to common community or

country values. Throughout history schools have implemented formal character education

programs that have been the core of the curriculum and some schools have a made

character education an informal part of the school with little thought or organization

(Watz, 2011, p. 34). Whether formal or informal, character education is as old as

education itself and is found in historical documents dating back to the ancient Greeks

(Lickona, 2004, p. 8). The Greeks recognized "that a self-governing society cannot

endure if its citizens are not virtuous" (Berkowitz, 2012, p. 6). Aristotle (trans. 1976)

wrote about virtues of character in 350 B.C. in his Nichomachean Ethics and stated that

moral virtues "are engendered in us neither by nor contrary to nature; we are constituted

by nature to receive them, but their full development in us is due to habit" (p. 91). In

order to be happy, according to Aristotle (350 B.C./trans. 1976), one must be "active in

accordance with complete virtue and not for some unspecified period, but throughout a

complete life" (p. 84).

The cardinal virtues—justice, prudence, fortitude, and temperance date back to

the ancient Greeks philosophers (Neufeldt & Guralnik, 1991, p. 211). These virtues are

called cardinal from the Latin *cardo*, meaning hinge, inferring that these four virtues are

the hinge on which the moral life turns, that all four virtues must be exercised together in

unity in order for a person to develop good character (Neufeldt & Guralnik, 1991, p.

211). The cardinal virtues are the foundation of all other virtues that were developed

during the ancient Greek time and are still in use today in character education initiatives.

People who follow the cardinal virtues have guidance and direction in their lives and they

provide long-term "solutions that address moral, ethical, social, emotional, and academic

issues that are of growing concern about our society and the safety of our schools"

(Schwartz, 2008, p. vii).

Character education in early U.S. Centuries after the Greeks, in the eighteenth

and nineteenth centuries, there were many European philosophers including Kant, Comte,

and Renouvier that contributed to the development of character education (Watz, 2011, p.

35). The Prussian philosopher Immanuel Kant and later the French philosopher Renouvier "expected religious morality in education" (Stock-Morton, 1988, p. 107). These different philosophies affected the character education in the developing United States. Lickona (1993) stated that early character education in the U.S. was conducted through frequent Bible study in schools and students were taught basic morals and values from the stories in the Bible (p. 6). The Bible was "used to teach subjects including reading, writing, and history" (Watz, 2011, p. 34). Comte, a contemporary of Kant and Renouvier, believed differently, that the "moral growth and development of students as a more modern and scientific principle, separate from that of staunch religious instruction" (Stock-Morton, 1988, p. 107). This shift in character development of students from mainly ecclesiastical focus to a much more secular focus brought about the "'enlightened' age of Comte and a new type of moral instruction, one that focused on scientific method and modern philosophy" (Stock-Morton, 1988, p. 122). Further, noted historian Freeman Butts (1991) believed that education for citizenship was the primary reason for establishing universal education in the American Republic. Character education has been part of the United States before it was organized as a country although there were different philosophies of what it entailed (Schwartz, 2008).

The thoughts and philosophies of these European philosophers especially Comte influenced the developing American educational system. Horace Mann, a well-known American educator, was influenced by these "enlightened" discoveries and stated:

Order must be maintained. This is the primal law. The superiority of the heart; the superiority of the head; the superiority of the arm; this is the order of the means to secure it. The teacher is the representative and the interpreter of [God's] law. He

is clothed with power to punish its violations; but this comprehends only the

smallest part of his duty. As far as possible, he is to prevent violations of it, by

rectifying that state of mind out of which violations come. Nor is it enough that

the law be obeyed. As far as possible he is to see that it is obeyed from right

motives. (Mann, 1846, p. 85)

Mann was a strong proponent of free public education and believed that this education

would not only improve the intellect of citizens, but also the morality of society. Mann

(1849) wrote:

It seems to be that the time is now arrives when the friends of this cause should

plant themselves on a more conspicuous position; when surveying the infinite of

wretchedness and crime around them, before which the stoutest heart is appalled

and humanity stands aghast, they should proclaim the power and the prerogatives

of education to rescue mankind from their calamities. Founding themselves upon

evidence that cannot be disputed, and fortifying their conclusions by the results of

personal experience, they should proclaim how far the miseries of men can be

alleviated and how far the dominion of crime can be overthrown, by such a

system of education as it is perfectly practicable for every civilized community

forthwith to establish; and thus they should awaken the conscience of the public

to a sense of its responsibility. (p. 72)

Mann believed that by teaching proper values to students they would perform better

academically because they would see and understand the need to be educated, set goals,

and strive to help those throughout society (Mann, 1849).

In addition to Mann, the founding fathers of the United States, Benjamin Franklin and Thomas Jefferson, were also strong proponents of character education in schools. Franklin believed that the issues of "right and wrong," "justice and injustice" should be taught through moral instruction and that they would "fix in the minds of youth deep impressions of the beauty and usefulness of virtue of all kinds, public spirit, fortitude, etc." (Franklin, 1749, pp. 20-23). Jefferson (1818) was a staunch advocate of education and the strength that it gives to a country and stated that education was to improve one's "moral and faculties" (p. 459). Jefferson (1822) also stated in support of education, "I look to the diffusion of light and education as the resource to be relied on for ameliorating the condition, promoting the virtue, and advancing the happiness of man" (p. 399). The founding fathers believed that these values must be instilled at an early age and that they were foundational to building a strong government, economy, and country (Murphy, 1998).

Noah Webster, often referred to as the first Schoolmaster of America, stated in 1790 the following about the benefits of character education in the early years of the United States:

> Education, in great measure, forms the moral character of men, and morals are the basis of government…. It is much easier to introduce and establish an effectual system for preserving morals than to correct by penal statutes the ill effects of a bad system…. The only practicable method to reform mankind is to begin with children, to banish, if possible, from their company every low-bred, drunken, immoral character. (Webster, 1790, p. 63)

The founding fathers and Webster believed that the backbone and future success was found on a strong value system. A strong value system would help citizens make good choices and help be productive citizens and leaders in communities.

The founding fathers were not the only people that recognized that character education and a country founded on strong values was important. In the mid-nineteenth century Alexis deToqueville, a French political thinker and historian, visited the developing United States from Europe to evaluate and observe the new country. He was particularly interested in how such a diverse group of people from all over the world from various religious backgrounds could succeed in building a society out of the wilderness. He was surprised to find a society that was self-governed, a democracy, and so many with common goals in strengthening the new country. He believed that a major secret to the success of the new United States was that the society had in place and followed core societal and personal values and warned if the citizens ceased to be value-driven, they would cease to flourish (de Tocqueville, 1862). deToqueville, along with the founding fathers knew and understood that the foundation and survival of the new country was dependent on the "positive values of its citizens, and they further recognized that education was a critical force in shaping those values" (Berkowitz, 2012, p. 7). They understood that a strong value system would help the citizenry make choices that would help strengthen the country and bring positive change and growth.

Early character education curriculum. Since the start of the colonization of the new country the Bible was the main source of character education curriculum that helped in shaping the values of the citizens of the new country (Watz, 2011). The Bible was used to "help direct students toward important societal values such as hard work, self-

discipline, kindness, and perseverance" (Berger, 2000, p. 9). The use of the Bible as the

foundation of the character education curriculum started to come under scrutiny in the

early nineteenth century (Schwartz, 2008). Noah Webster, as stated previously, was

instrumental in the development of the educational system in the new United States and

was influential in not just in establishing an effective educational system but one that was

established on the moral education of America's children. One of his main contributions

to education was his *Spelling Book*, which taught millions of Americans to spell and sold

millions of copies and is debated to have affected the lives of more young than any other

secular book in American history (Mencken, 1921). However, Webster wanted more than

to just teach Americans how to spell and designed his texts around morals and virtues to

educate the masses (Curti, 1959). In most of Webster's texts the first sentences a student

would read after learning the alphabet were, "No man may put off the law of God," and

"My joy is in his law all the day" (Cohen, 1976, p. 56). The Bible was the main source

for character education either directly or indirectly.

Disputations arose over whose Bible to use, whose doctrines to teach, and the

interpretation of scripture (Lickona, 1993). Because of these disputations William

McGuffery wrote character education curriculum which retained some favorite Biblical

"stories but added poems, exhortations, and heroic tales" (Lickona, 1993, p. 6). His

McGuffey readers told stories about children the same age as students "who successfully

learned to live good virtues in their everyday life" (Murphy, 1998, p. 16). As an example,

one of McGuffey's lessons read:

This old man cannot see. He is blind.

Mary holds him by the hand.

She is kind to the old blind man. (Vail, 1909, p. 20)

While children learned to read or write they were also learning lessons about kindness, honesty, hard work, etc. During the nineteenth century, McGuffey sold over 100 million copies of his McGuffey readers, the most popular textbooks in history (Watz, 2011, p. 43). McGuffey's work was the start of the movement to replace the Bible with other character education material (Schwartz, 2008).

Fall of character education in the twentieth century. Character education's curriculum, approach, and educators' philosophy changed dramatically during the first half of the twentieth century. Educators and historians have debated the reasons why character education lost its footing in schools across America, but most agree on a few major factors. The main causes that will be discussed in this section are: (a) the move to legislate and enforce the separation of religion from public schooling, (b) the successful launch of Sputnik, (c) changes in moral philosophies.

Separation of religion from public schooling. Millions of people moved into the United States at the end of the nineteenth and start of the twentieth century and brought with them their own religious beliefs (Watz, 2011). With the various religious philosophies that were growing, the use of the Bible as the cornerstone of character education came under fire (Cunningham, 2005). The mixture of religious philosophies in the country brought varied interpretations of scripture which caused contention for the use of the Bible in schools (Cunningham, 2005). In 1875, Chicago banned the required reading of the Bible in public schools and teachers lost their traditional source of their authority for moral instruction and character education (Cunningham, 2005). Other major cities and states followed suit, but there continued the use of the Bible and prayer in

public schools. The Supreme Court was later involved to set the issue of separation between church and state to rest in declaring school sponsored prayer illegal and Bible reading over the school intercom unconstitutional in 1963 (School District of Abington Township, Pennsylvania v. Edward Lewis Schemp and Murray v. Curlett 374 U.S. 203) (Alexander & Alexander, 2009, p. 251). Berkowitz (2012) stated that the separation of religion from public schooling was a major shift in character education:

> Values and morality were so closely tied to religion in our society, that in the mid-20th century legislation about prohibiting religious teaching in public schools led to what essentially was throwing out the baby (values, ethics, morality, character) with the bathwater (religious worship and advocacy in public schools). (p. 3)

He argued that the first amendment of the U.S. Constitution "does not preclude any presence of religion in schools; rather just precludes the advocacy of religious beliefs in public schools" (Berkowitz, 2012, p. 3). Many educators used the Bible and religious references as the core of their character education curriculum and by removing these tools from education teachers were at a loss of what to use (Cunningham, 2005).

Successful launch of Sputnik. There were many other influences that were not only affecting the use of the Bible and religion in schools. The Cold War was scaring many citizens across the country and the governments of the United States and the Soviet Union were in an arms race. On October 4, 1957, Sputnik 1 was launched and went into orbit to become the first artificial satellite to successfully orbit the earth. This shook the core of the American public that had maintained the belief of American superiority in all things. Sputnik was a big shock to the "American psyche, which has always assumed that the U.S. was first in science, technology, etc." (Berkowitz, 2012, p. 4). Sputnik would

impact many areas of America's society and education was a major target for politicians who wanted to keep in front of the Soviet Union in education and military developments (Cunningham, 2005). Soon after the successful launch the media attacked America's educational system and labeled the system soft and the Soviet educational system superior and more rigorous (Kliebard, 1995). Congress reacted quickly after the satellite launch to change education to match the rigorous Soviet system in science and math and passed the National Defense Education Act of 1958. The first paragraph of this Act makes its intent clear:

> The Congress hereby finds and declares that the security of the Nation requires the fullest development of the mental resources and technical skills of young men and women. The present emergency demands that additional and more adequate educational opportunities be made available. The defense of the Nation depends upon the mastery of modern techniques developed from complex scientific principles. (Clowse, 1981, p. 47)

This Act changed education and the focus of education drastically and would have an influence on education for years to come. Berkowitz (2012) described this time:

> A national panic over "losing the space race" resulted in an immediate call for more emphasis on math and science turning some schools, especially high schools, into mini-technology universities. Social studies, values education, and other "soft" subjects took a back seat. (p. 4)

The federal government started to have a major influence and control on education by providing huge sums of money to promote science, mathematics, and technology in

schools. Character education and the emphasis of the development of the child to perform as a member of society made a radical shift in education (Cunningham, 2005).

Changes in moral philosophies. Moral philosophies and how an individual developed their own moral compass were changing throughout the twentieth century. John Dewey, toted as America's chief philosopher of education at the turn of the century, was a moral relativist that questioned and weakened the foundations of character education (Cunningham, 2005). Dewey believed that "a moral agent is one who proposes for himself an end to be achieved by action and does what is necessary to obtain that end" (Dewey, 1891, p. 124). He also believed that in order for something to be of value one should ask if it was "something to be prized and cherished, to be enjoyed" (Dewey, 1929, p. 260). Dewey, as a moral relativist, believed that values were clarified by individuals as a response to environmental situations. His philosophies had major impacts on the future of character education and value clarification (Cunningham, 2005). Dewey's questioning of moral development led to the strengthening of logical positivism and personalism which are explained in more detail below.

Dewey promoted logical positivism at the turn of the century and its influence was felt and strengthened many decades later (Cunningham, 2005). Along with the questioning that Dewey made towards moral development there were scientists making theories that affected the mindset of people. According to Lickona (1993),

> Darwinism introduced a new metaphor—evolution—that led people to see all things, including morality, as being in flux. The philosophy of logical positivism, arriving at American Universities, asserted a radical distinction between *facts* (which could be scientifically proven) and *values* (which positivism held were

mere expressions of feeling, not objective truth). As a result of positivism,

morality was relativized and privatized—made to seem a matter of personal

"value judgment," not a subject for public debate and transmission through the

schools. (p. 6)

Further, Lickona (1991) believed that "Einstein's theory of relativity, though intended to

explain only the behavior of physical matter, affected thinking about moral behavior as

well" (p. 7). These scientific theories brought people to think about their own value

system as being in a state of change and as a result morality was relativized and many

people started to believe, "It's all relative to your point of view" (Lickona, 1991, p. 46).

Value systems were being based on logical positivism, according to Lickona (1991), this

introduced a fundamental distinction between "fact" and "value." It held that the

only real facts or truths were ones that could be scientifically demonstrated. Moral

or value statements, by contrast, were considered "emotive"—expressions of

feeling rather than fact. (p. 8)

The rise in logical positivism caused confusion since it promoted that there is no moral

truth or no objective right or wrong (Lickona, 1993). People's moral compasses were

confused and there was no set pole to guide them and give them direction in their lives'

journeys. Leming (1997) explained that "children seemed to be doing little more than

developing rationalizations for what was all too often their morally unacceptable

behaviors" (p. 14). Right and wrong were blurred and societal values were not clarified

and set for the youth of the country to understand and help them in their choices (Lerner,

2006).

Personalism. In the 1960s and 1970s, the personal development of morals and

values was in a state of fluctuation with the rise of "personalism." Personalism according

to Lickona (1991)

> celebrated the worth, dignity, and autonomy of the individual person, including
>
> the subjective self or inner life of the person. It emphasized rights more than
>
> responsibility, freedom more than commitment. It led people to focus on
>
> expressing and fulfilling themselves as free individuals rather than on fulfilling
>
> their obligations as members of groups such as family, church, community, or
>
> country. (p. 9)

People were encouraged to live life to their fullest with little thought for those around

them and for responsibility for their own actions (Clouse, 2001). Values and morals were

not based on any secure foundation as they were previously through religion, but founded

on what felt good in the moment (Clouse, 2001). This type of value and moral

development was considered the values clarification approach and grew in strength

during the hippie era and was the driving force of personalism (Clouse, 2001; Edgington,

2002; Milson & Mehlig, 2002). Values clarification is "described as a process of

allowing a child to clarify his own values without interference from another person"

(Prestwich, 2004, p. 141). During this time of values clarification "schools were put in a

neutral position of just asking students to 'clarify' whatever their values happened to be"

(Berkowitz, 2012, p. 4). Often instructors or books would help students through a value

clarification process to have students come to term with their own value system.

However, the instructors or books would not give feedback or input to make changes if

some of the values were inappropriate (Prestwich, 2004). Milson and Mehlig (2002)

stated that during this time people experienced "values confusion" (p. 47). The lack of societal support and empirical research caused values clarification to be short-lived (Berkowitz, 2012). Personalism was weakening the moral fabric of society as young people struggled to determine on their own proper values to shape their life around (Lickona, 1991).

Moral reasoning. Moral reasoning "involves understanding what it means to be moral and *why* we should be moral. Why it is important to keep a promise? Do my best work? Share what I have with others in need?" (Lickona, 1991, p. 55). Children develop moral reasoning skills gradually and slowly—"they learn what counts as a good moral reason for doing something and what doesn't count" (Lickona, 1991, p. 55). Moral reasoning has been the center of much of the twentieth century research on moral development (Kilpatrick, 1992). There have been many that have done research on moral reasoning, the two most well-known have been Jean Piaget and Lawrence Kohlberg.

Jean Piaget was a Swiss developmental psychologist and philosopher who believed education and especially moral education "is capable of saving our societies from possible collapse, whether violent, or gradual" (Piaget, 1934, as cited in Munari, 1994, p. 318). He conducted research on the development of morals in children and published his findings in *The Moral Judgment of the Child* (1931). His findings suggested that morality in children results from social interactions or immersion in a group or activity. According to Piaget, these activities and working with a group have a major impact on the development of children in education and in their morals. Piaget (1931) stated that "morality consists in a system of rules, and the essence of morality is to be sought or in the respect which the individual acquires for those rules" (p. 1). He believed

that there was a close parallel between moral and intellectual development, and stated

that "logic is the morality of thought just as morality is the logic of action" (p. 404).

Murray (2008), stated, that "given this view, Piaget suggested that a classroom teacher

perform a difficult task: the educator must provide students with opportunities for

personal discovery through problem solving, rather than indoctrinating students with

norms" (p. 1). The personal discovery comes from the activities that take place in schools

and classrooms and in the interactions with other children. According to Piaget (1934),

"the child is someone who constructs his own moral world view, who forms ideas about

right and wrong, and fair and unfair, that are not the direct product of adult teaching and

that are often maintained in the face of adult wishes to the contrary" (as cited in Grealy &

Hall-Ellis, 2009, p. 121). Piaget's research concluded that children develop their own

moral foundation based on their own observations and experiences of the world.

In the 1970s, Lawrence Kohlberg built on Piaget and Dewey's work and

developed a new approach to moral reasoning. Kohlberg believed that people progressed

in their moral reasoning through a series of stages, which are outlined as follows:

Table 1

Definition of Moral Stages

Level of Moral Thinking	Stages
Level 1 – Pre-conventional	**Stage 1 – Obedience and Punishment Driven** Moral action is essentially the avoidance of punishment. **Stage 2 – Self-Interest Driven** Right is to take responsibility for oneself, to meet one's own needs and leave others the responsibility for themselves. Other people's wants and needs come into the mix, but only in a reciprocal sense. ('You do something for me; I'll do something for you.')
Level 2 - Conventional	**Stage 3 – Interpersonal Accord and Conformity Driven** Right is being good in the sense of having good motives, having concern for others and 'putting yourself in the other person's shoes'. **Stage 4 – Authority and Social Order Obedience Driven** Right is to maintain the rules of a society and to serve the welfare of the group or society.
Level 3 – Post-conventional	**Stage 5 – Social Contract Driven** Individuals are viewed as holding different opinions and values. Laws are regarded as social contracts rather than rigid dictums. Although laws should be respected, individual rights can sometimes supersede these laws if they become too destructive or restrictive. **Stage 6 – Universal Ethical Principles Driven** Moral action is determined by our inner conscience, and may or may not be in agreement with public opinion or society's laws. Moral reasoning is based on abstract reasoning using universal ethical principles. Ethical actions are not instrumental or a means to something else: they are an end in themselves.

Note. Adapted from "The just community approach to corrections: A theory," by Kohlberg, L., Kauffman, K., Scharf, P., & Hickey, J., 2006, *Journal of Moral Education*, 4, pp. 243-260. Adapted with permission.

Kohlberg believed that individuals move through these stages one at a time and each stage must be completed before moving to the next. Kohlberg asserted that cognitive development was necessary for moral development and that the use of logical reasoning is necessary for moral judgment and moral judgment is necessary for moral action, but neither is sufficient in itself (Kohlberg, 1975). Kohlberg (1975) described how moral action takes place:

> Why are decisions based on universal principles of justice better decisions? Because they are decisions on which all moral people could agree…Truly moral or just resolutions of conflicts require principles which are, or can be, universally applicable. (p. 46)

The resolution process can be exercised and used in "just communities" and help students move through the moral reasoning stages (Kohlberg, 1975). In Kohlberg's "just communities" students participate in a democratically run school

> Stressing solving school issues in a community meeting through moral discussion process. It assumes that treating real-life moral situations and actions as issues of fairness and as matters for democratic decision would stimulate advance in both moral reasoning and moral action. (Kohlberg, 1975, pp. 53-54)

Kohlberg believed that school should operate in these "just communities" to promote proper morals through social interactions, democratic participation, and a positive moral atmosphere (Kohlberg, 1975). Kohlberg's work gave rise to character education again and the need for its incorporation into schools.

Need for Character Education

With the confusion of different moral philosophies and societal problems, many educators, politicians, and parents have called for a return of character education (Hayes, Lewis, & Robinson, 2011). Formal character education started to be incorporated in education in the 1970s and has steadily gained ground since. It started with Kohlberg's work of moral reasoning which "develop students' powers of moral reasoning so they can judge which values are better than others, which is necessary but not sufficient for good character, and underestimated the school's role as a moral socializer" (Lickona, 1993, p. 7). Along with Kohlberg's work, Lickona (1993) explained three main causes for the rise of character education in the late twentieth century:

1. The decline of the family. The family, traditionally a child's primary moral teacher, is for vast numbers of children today failing to perform that role, thus creating a moral vacuum.

2. Troubling trends in youth character. There is a sense that young people in general, not just those from fractured families, have been adversely affected by poor parenting; the wrong kind of role models; the sex, violence, and materialism portrayed in the mass media; and the pressures of the peer group.

3. A recovery of shared, objectively important ethical values. Moral decline in society has gotten bad enough to jolt us out of the privatism and relativism dominant in recent decades. We are recovering the wisdom that we do share a basic morality, essential for our survival; that adults must promote this morality by teaching the young, directly and indirectly, such as values of respect, responsibility, trustworthiness, fairness, caring, and civic virtue, and

that these values are not merely subjective preferences but that they have

objective worth and a claim on our collective conscience. (pp. 8-9)

Many of these reasons are continuing the drive for character education in schools in

addition to other societal problems that have increased (Hayes, Lewis, & Robinson,

2011). Discussed later will be how character education has shown to improve school

climate, academic outcomes and to decrease negative teenage behavior (Battistich, 2003).

This section will focus on mainly the reasons character education is important in our

school and our society.

Researchers, politicians, educators, and other community leaders have stated that

several of society's problems have occurred because of the moral decay of our society

which has started with the weakening and decline of the family (Schneider, Atteberry, &

Owens, 2005). Lickona suggested that in the early 1990s, the weakening of the family

has played a major role in the moral decline of the United States. The United States has

the highest divorce rate in the world, with roughly 45% of marriages expected to end in

divorce (Cherlin, 2010). With such a high divorce rate, children are affected the most

with only one parent at home to help in the development of their children (Schneider,

Atteberry, & Owens, 2005). In the year 2000 "only 6 percent of American families were

nuclear with only one parent working" (Wiles & Lundt, 2004, p. 88). Family dynamics

are changing and students are not being reared in strong stable homes and many children

are being reared by a single parent and others are being raised by a parent or parents that

have weak parenting skills (Schneider, Atteberry, & Owens, 2005).

Lickona (1991) stated that "the family has undeniable clout as a moral socializer

of children. But families are changing. Most families have been touched, in one way or

another, by the heartache of divorce" (p. 31). Because of the breakup and weakening of the family, "the functions of schooling had to be restructured radically in order to take up the slack" (Kliebard, 1995, p. 77). The decline of school competence has been "tied directly to the dissolution of the school's partner in values, the family" (Wiles & Lundt, 2004, p. 85). Lickona (1993) stated that schools feel the effects of weak family unity by the increase of violence, lower academic achievement, and cheating. Schools, in many cases, are the sole provider of character education due to the weakening family unit and have had to take on more of a child's character development and of teaching appropriate values (Christie, 2005). Further, churches used to be the partner in instilling values and morals in the youth and today fewer than 22 percent of Americans attend church services (Hadaway & Marler, 2005).

Schools have seen the need to incorporate character education more and more not only because of the weakening family unit but also because of the troubling trends in youth. Some disturbing trends in youth that are driving character education are:

- The achievement gap. For several decades, despite various reform efforts, gaps in school achievement among racial and ethnic groups, and between poor and non-poor students, have been large and persistent (Aud, Wilkinson-Flicker, Kristapovich, Rathbun, Wang, & Zhang, 2013).

- Graduation rates. An estimated 30% of Americas high school freshman never graduate from high school, in many schools more than 50% do not graduate (Aud, Wilkinson-Flicker, Kristapovich, Rathbun, Wang, & Zhang, 2013).

- International comparisons. In the United States 13-year-olds slip below average; 17-year-olds are near the bottom (Aud, Wilkinson-Flicker, Kristapovich, Rathbun, Wang, & Zhang, 2013).

- Readiness for college. Of those high school students who go to college, one-third to half seek remedial help in reading, writing, or mathematics once they get there (Gray, 2009).

- Misuse of media. In the Youth Risk Behavior Surveillance report conducted during 2011 nearly one-third of the students surveyed reported to play three or more hours of video or computer games on an average school day (Centers for Disease Control and Prevention, 2012).

- Academic honesty. Trend data show that cheating has steadily increased at every educational level, including high school, in recent decades (McCabe, 2001).

- Violence. One in three high school students reported being in a physical fight in the past twelve months and 17% of students reported to have carried a weapon in the past 30 days (Centers for Disease Control and Prevention, 2012). Homicide deaths among 15 to 19-year-old U.S. males are five times higher than in Canada (Moore, 2003). According to the U.S. Centers for Disease Control, homicide is the second leading cause of death for 15 to 24-year-olds, surpassed only by car accidents (Adolescent Health Chartbook, 2011).

- Suicide. In a report conducted in 2003, about 20 percent of U.S. teens stated they seriously considered suicide during that year (Institute for American

Values). According to the U.S. Centers for Disease Control, suicide is the third leading cause of death for 15 to 24-year-olds, surpassed only by car accidents and homicide (Adolescent Health Chartbook, 2011).

- Drug, tobacco, and alcohol use. In a study sponsored by The National Institute on Drug Abuse at The National Institutes of Health in 2012 the following was reported: about one in fifteen high school seniors is a current daily, or near-daily, marijuana user; four in every ten American Young people (40%) have tried cigarettes by 12th grade; nearly one in six (17%) 12th graders is a current smoker; and one in four teens say they engage in binge drinking (five or more alcoholic drinks within a few hours) at least once a month (Johnston, O'Malley, Bachman, & Schulenberg, 2012)

- Sexual activity. In the Youth Risk Behavior Surveillance report conducted during 2011 it was reported that nearly half of the teenagers had ever had sexual intercourse, over one third of teenagers reported to have had sexual intercourse in the last three months and over 15% reported to have had sexual intercourse with four or more people during their life (Centers for Disease Control and Prevention, 2012).

In addition to these trends bullying is also a fast growing problem in schools that administrators are striving to curtail. There are various forms of bullying that are regularly occurring in schools from physical to cyberbullying. In a national study published in the *Journal of Adolescent Health* it was reported:

- 20.8% of students said others physically bullied them—hit, kicked pushed, or shoved them or locked them indoors.

- Over 50% of the students reported some kind of verbal bullying—others
  called them mean names, made fun of them, or teased them in a hurtful way.

- Over 50% of the students reported some kind of social bullying—others
  spread rumors about them or ostracized them.

- 13.6% stated that they had been cyberbullied. (Michaud, 2009, p. 323)

Bullying is a major problem in schools and there have been many negative consequences of bullying from increased student violence to increased student suicide.

School leaders, community leaders, politicians, and others have expressed concern about the bullying, these other trends, and the overall moral development of our youth. The National School Boards Association has expressed concern regarding youth:

Adolescents are more materialistic, less realistic and/or harder to motivate than earlier generations, and that with parents taking a less active role in raising their children, youth look elsewhere for some sort of structure in their lives or suffer various problems for want of such structure. (DeRoche & Williams, 2001, p. 3)

Character education initiatives have shown to decrease these negative behaviors as adolescents learn moral skills to overcome these various problems (Schwartz, 2008). There have been many changes that have happened in our society which have affected children. The best way to strengthen our children and homes is to teach children appropriate values and morals of character education to combat these increasing demands and struggles (Collins, 2003). Fredrick Douglass believed in character education and stated, "It is easier to build strong children than to repair broken men" (as cited in Dunivent, A. & Dunivent, S., 2007, p. 92). Character education is essential for schools to implement because it has shown to reduce negative student behavior, improve academic

performance, and prepare young people to be responsible citizens (Lickona, 1993). A little prevention in children will go a long ways in preventing future problems in adults' lives and character education is the solution and balm for preventing these problems.

Results of Effective Character Education Initiatives

With all the issues in society and the weakening of youth a "strength of character can ameliorate problems like these. However, character is necessary not only to avoid problems, but also to achieve one's full human potential—to be prepared to lead a flourishing life" (Lickona & Davidson, 2005, p. 5). Research on youth development finds that well-designed character-building interventions have been effective in reducing the range of negative youth behaviors (Battistich, 2003). Lickona and Davidson (2005) believe that in order to create a more safe society with students that are ready to enter the workforce and be successful, a character education program is necessary to teach the skills, values, and attitudes to be successful. These character traits are what employers are looking for in the workplace: cooperation, hard work, responsibility, diligence, striving for excellence, and flexibility (Beland, 2003; Lickona & Davidson, 2005).

Further, the development of values such as caring, respect, and honesty are central to both relationships and self-care and have enabled students to make wise decisions around issues such as drug and alcohol use, violence, and risky sexual behavior (Berkowitz & Bier, 2005). Schools that are using character education such as CEP's program are "finding improved academic achievement, behavior, school culture, peer interactions and parental involvement" (Berkowitz & Bier, 2005, p. 1). As students understand and exercise proper values and morals, we will see an increase in academic performance and improvements in communities across our nation (Lickona, 1993).

Character education initiatives have proven to be a means of prevention, have improved academic achievement, and improved the overall climate of schools (Battistich, 2000; Battistich, Schaps, & Wilson, 2004, Benninga et al., 2003; Berkowitz & Bier, 2005; Schwartz, 2008).

Character education has also shown to be effective at preventing students to engage in negative behaviors. An effective character education initiative does this by establishing a "reinforcing system of positive influences that help youth to deal effectively with life and avoid becoming involved in negative behaviors" (Battistich, 2008, p. 83). Further, character education

Puts students on a path toward successful life outcomes, and is therefore an approach to primary prevention. Moreover, it does so largely before such problems emerge, as opposed to trying to intervene after the young person has already become enmeshed in a social system that supports antisocial attitudes and behaviors. (Battistich, 2008, p. 83)

According to Berkowitz and Bier (2004) "character education has systematically demonstrated to be an effective form of prevention, especially primary prevention" (p. 79). Examples of studies that show the effects of character education on prevention are outlined below:

- In one ongoing longitudinal study across the United States found that along with positive relationships with one's family, a sense of connectedness to school is the most significant factor for every problem factor for every problem behavior examined including alcohol and drug abuse, violence and delinquency, and early sexual activity and teenage pregnancy. (Blum,

McNeeley, & Rinehart, 2002; Resnick, Bearnman, Blum, Bauman, Harris,

Jones, Tabor, Beuhring, Sieving, Shew, Ireland, Bearinger, & Udry, 1997)

- The Seattle Social Development Project, a character education initiative,

   found significant positive effects on [reduced] drug use, delinquent behaviors,

   and precocious sexual activity, as well as improved academic attitudes and

   achievements. (Hawkins, Catalano, Kosterman, Abbott, & Hill,1999)

- The Child Development Project has found that character education not only

   promotes children's general positive development, but has significant

   preventative effects on students' involvement in problem behaviors.

   (Battistich, 2008, p. 84)

In a meta-analysis study conducted by Berkowitz and Bier (2007) titled *What Works in*

Character Education, research findings were gathered on 33 well-documented school

character education initiatives. Berkowitz and Bier (2007) found that in 51 percent of the

evaluated programs there was a statistically significant impact on student thinking

regarding ethical and moral issues. The reported areas that are affected through character

education that were reported included:

sociomoral cognition, prosocial behaviors and attitudes, problem-solving skills,

reduced drug use, reduced violence/aggression, school behavior, knowledge and

attitudes about risk, emotional competency, academic achievement, attachment to

school, and decreased general misbehavior. (Berkowitz & Bier, 2007, p. 38)

These studies have cited that character education programs in the schools have prevented

many students from making poor choices and that in these programs students felt a caring

and supportive environment where they felt that they belong in schools. The positive

outcomes of effective character education programs were found to affect school culture, academic outcomes, student discipline, and other student misconduct.

Academic achievement is a main goal of education and is often evaluated by schools and governments to compare schools, states, and nations to one another. Character education initiatives have proven to be effective at raising academic achievement and have been touted as holding "many of the central tenets of quality education" (Berkowitz & Bier, 2004, p. 78). Student success is evident in several studies of the effects of character education initiatives. One such study reported in the *Journal of Educational Effectiveness* was done over several years in Hawaii and the academic results revealed that in schools that were involved in the character education initiative:

Students scored 9.8% better on the TerraNova (2nd ed.) test for reading and 8.8% on math, that 20.7% better in Hawaii Content and Performance Standards scores for reading and 51.4% better in math, and that intervention schools reported lower retentions (72.7%). Overall, effect sizes were moderate to large (range = 0.5–1.1) for all of the examined outcomes. (Snyder, Flay, Vuchinich, Acock, Washburn, Beets, & Li, 2009, p. 26)

Additional studies that support these conclusions of improved academic performance are:

- South Carolina's four-year character education initiative, which is a pilot initiative funded by the U.S. Department of Education, conducted research by surveying administrators who reported that 60 percent noticed improvement in academic performance.

- Longitudinal studies from the Responsive Classroom program, which emphasizes social skills and good character, have shown increased academic

> performance across several grade levels. Iowa Test of Basic Skills scores rose 22 percent for the Responsive Classroom students and only 3 percent for the control group. The Responsive Classroom has also resulted in above-average academic growth between grades four and eight, decreases in discipline referrals and increases in pro-social behaviors. (Haynes & Thomas, 2007, pp. 160-161)

A comprehensive character education initiative has shown to improve academic outcomes of students.

With the improvement of academics and prevention of student misconduct a school environment naturally improves. An effective character education initiative helps in creating a positive school environment

> having shared vision and goals, using collaborative teams, and developing leadership capacity at all levels…strong leaders who empower others, norms of interpersonal respect, close caring relationships among staff and between staff and students, and maximal opportunities for success for all students. (Berkowitz & Bier, 2004, p. 78)

The observations have been verified through three different studies conducted by the Developmental Studies Center in Oakland, California. These studies concluded that students that are part of a character education initiative show greater:

- concern for others
- altruistic behavior
- motivation to be kind and helpful
- conflict resolution skill

- acceptance of outgroups

- enjoyment of class

- liking for school

- motivation to learn

- amount of reading. (Lewis, Watson, & Schaps, 2003, p. 105)

A study conducted in Hawaii found similar results in its research over many schools over several years and discovered "15.2% lower absenteeism and fewer suspensions (72.6%)" (Snyder et al., 2009, p. 26). Character education changes a school's climate and atmosphere by changing the people that are part of it. Students and teachers feel a part of an organization and group and want to be better.

In summary, Victor Battistich of the University of Missouri-St. Louis, examined much of the scientific research on character education from 1992-2007. He concluded that a "comprehensive, high-quality character education can prevent a wide range of problems, including aggressive and antisocial behaviors, drug use, precocious sexual activity, criminal activities, academic underachievement and school failure" (Haynes & Berkowitz, 2007, p. 13A). An effective character education initiative helps in the prevention of negative student behaviors which decreases classroom disruptions, creates a safer environment, improves academic outcomes, and overall helps in developing a culture and school environment that is welcoming and effective.

Character Education Organizations

There are many different character education initiatives and organizations that schools can use or be a part of to promote appropriate character development. These initiatives believe:

Schools are, essentially, a community of their own. If the whole school

community fosters the language, culture, and climate of good character, then the

students who spend a significant portion of their time there will acquire the words,

concepts, behaviors, and skills that contribute to good conduct, ethical decision

making, and a fertile learning environment. (Brooks and Kann, 1993, p. 21)

State and federal governments recognize the need for increasing character education

initiatives in schools. In his State of the Union speeches of 1996 and 1997, President Bill

Clinton referred to the need of increased character education, "I challenge all our schools

to teach character education, to teach good values, and to teach good citizenship"

(Clinton, 1996, para. 39). "Character education must be taught in our schools. We must

teach students to be good citizens" Clinton, 1997, para. 38). Most states' Departments of

Education have standards that reflect principles related to character or values (Ryan &

Bohlin, 1999). Table 2 outlines what each state is doing in regards to legislating and

supporting character education.

Table 2

Character Education: What States Are Doing

MANDATE character education (18)	ENCOURAGE character education (18)	SUPPORT character education, but without legislation (7)	No legislation specifically addressing character education (8)
Alabama	Arizona	Connecticut	District of Columbia
Alaska	Colorado	Hawaii	Idaho
Arkansas	Delaware	Missouri	Massachusetts
California	Iowa	Montana	Nevada
Florida	Kansas	New Jersey	New Hampshire
Georgia	Louisiana	North Dakota	New Mexico
Illinois	Maine	Vermont	Wisconsin
Indiana	Maryland		Wyoming
Kentucky	Michigan		
Nebraska	Minnesota		
New York	Mississippi		
North Carolina	Ohio		
South Carolina	Oklahoma		
South Dakota	Oregon		
Tennessee	Pennsylvania		
Utah	Rhode Island		
Virginia	Texas		
West Virginia	Washington		

Note. Adapted from "Character Education Legislation" by *Character Education Partnership* (2013). Adapted with permission. (See Appendix A for an outline of what each state is doing and legislates in regards to character education).

Programs and organizations that are center to the promotion of character education are the Character Education Partnership, the Character Counts Coalition, and the Communitarian Network.

Character Education Partnership (CEP) based in Washington, DC, was founded in 1993, and is a "national advocate and leader for the character education movement. Based in Washington, DC, we are a nonprofit, nonpartisan, nonsectarian coalition of organizations and individuals committed to fostering effective character education in our nation's schools" (CEP About us, 2010, para. 2). The mission of CEP is "Providing the vision, leadership and resources for schools, families and communities to develop ethical citizens committed to building a just and caring world" (Vision and Mission, 2010, para. 1). The goal of CEP is to help schools create a safe, caring, and respectful environment "where students flourish academically and do the right thing" (CEP About us, 2010, para. 1). CEP aims to

> benefit society through school reform that addresses not only academics, but also moral, social, emotional, and ethical issues. CEP has the tools, methods, and strategies to empower teachers, parents and community members to help schools achieve the important goals of character development. (CEP About us, 2010, para. 2)

CEP recognizes schools that have effective character education initiatives are based on the *11 Principles of Effective Character Education* (Lickona, Schaps, & Lewis, 2003). These are the areas that schools are evaluated by when applying to CEP for recognition as a National or State School of Character award. The eleven principles are summarized:

1. The school community promotes core ethical and performance values as the foundation of good character.

2. The school defines "character" comprehensively to include thinking, feeling, and doing.

3. The school uses a comprehensive, intentional, and proactive approach to character development.

4. The school creates a caring community.

5. The school provides students with opportunities for moral action.

6. The school offers a meaningful and challenging academic curriculum that respects all learners, develops their character, and helps them to succeed.

7. The school fosters students' self-motivation.

8. The school staff is an ethical learning community that shares responsibility for character education and adheres to the same core values that guide the students.

9. The school fosters shared leadership and long-range support of the character education initiative.

10. The school engages families and community members as partners in the character-building effort.

11. The school regularly assesses its culture and climate, the functioning of its staff as character educators, and the extent to which its students manifest good character. (Lickona, Schaps, & Lewis, 1995)

These eleven areas are the focus for CEP membership schools and drive the character education process in these communities. CEP is an umbrella organization that partners

with other organizations and institutions to promote character education. Partners of CEP include the American Association of School Administrators (AASA), the Association of Supervision and Curriculum Development (ASCD), the National Council for Social Studies (NCSS), the National School Boards Association (NSBA), the National PTA and others (Lickona & Davidson, 2005). Further, as of January, 2013, there are 30 states that have organizations that are actively participating in CEP and promote CEP's initiative to schools throughout the state (CEP Participating States, 2013). CEP provides character education training for schools through seminars, institutes, and in-house workshops (CEP Institutes and Workshops, 2013). Further, CEP hosts an annual national conference, publishes materials in relation to character education and participates on the national political scene to promote character education.

CEP hosts the National and State School of Character program where schools and districts are recognized and awarded for implementing effective character initiatives based on *11 Principles of Effective Character Education*. There are 31 participating states that recognize effective character education initiatives on a state level. The application and award process is as follows:

- Stage one: Complete the application. School stakeholders give input into the application and complete a self-assessment.

- Stage two: Initial review of applications. State coordinators review and score all the applications received. Those that meet the standard of excellence are named State Schools of Character (SSOC) for a period of three years and are forwarded to CEP for further consideration. CEP reviews applications from states without sponsors.

- Stage three: National review of SSOC applications and selection of National Finalists.

- Stage four: National evaluation of finalists. Finalists are assigned National Evaluators and asked to provide additional information online. National Evaluators review applications and all available sources of validation. In many cases, National Evaluators will visit the school or district to validate the claims made in the application.

- Stage five. Selection of NSOC. CEP senior staff review the reports of the National Evaluators and determine if those applicants recommended by the National Evaluators should be names NSOC. CEP also convenes a Review Panel for expert advice during the selection process.

- Stage six. Feedback for applicants. All applicants receive feedback in order to encourage continuous improvement.

- Stage seven. Recognition and outreach. CEP recognizes the NSOC and shares their stories through press releases, the CEP website, and the annual NSOC book. CEP honors the NSOC at the National Forum on Character Education held in October/November. CEP assists the NSOC in planning their outreach efforts. (CEP 2013 SSOC-NSOC Timeline) (see Appendix B for the complete CEP School of Character application)

State Schools of Character hold their designation for 3 years and National Schools of Character for 5 years (CEP Application Timeline, 2013). There are currently 135 NSOC, with 29 being awarded in 2013 who all act as examples to other schools of effective character education initiatives in schools. Both State and National Schools of Character

serve as models and ambassadors of effective character education. They share their

successful strategies with other educators and open their campuses as demonstration sites.

NSOC Director Lara Maupin states that

> Each of these schools has a uniquely inspirational story of success in education.
>
> Schools of Character are places that foster more than just academic growth—
>
> these are nurturing educational communities that support parents in their most
>
> important job—raising good kids. (CEP 2013 Schools of Character, 2013, para. 2)

This research has uncovered the inspirational story of the principal behind the character

education movement in high schools.

Character Counts Coalition started around the same time as CEP with similar

goals, but is broader in its scope and reach. Character Counts Coalition partners with

youth, sports, business, and public service organizations to promote character education.

Character Counts is "an educational framework for teaching universal values and a

national coalition of organizations that support each other" (About Character Counts!,

2010, p. 1). The Character Counts' program is based on six pillars of universal values that

are necessary for strong character—trustworthiness, respect, responsibility, fairness,

caring, and citizenship (About Character Counts!, 2010, p. 2). The organization provides

training for educators, business leaders, and community members and is an active

participant in promoting values and character education throughout the country. As of

2010, the coalition includes over 850 member organizations and thousands of affiliated

schools that reach more than 7 million youth and their families (About Character Counts!,

2010).

The Communitarian Network is another coalition that was formed in 1993 and is a "coalition of individuals who have come together to shore up the social, moral, and political environment. We are a nonpartisan, nonsectarian, transnational association" (About the Communitarian Network, 2010, para. 2). The network organizes "dialogues, develops communitarian position papers, conducts public meetings, and advises legislature and community groups regarding issues of moral and social issues of import for the well-being of society" (About the Communitarian Network, 2010, para. 3). One major area in which the network is involved in is with schools and education and they strongly urge "all educational institutions, from kindergartens to universities, recognize and take seriously the grave responsibility to provide moral education" (The Communitarian Vision: Schools and Education, 2010, para. 1). The Communitarian Network believes that schools should

> Teach those values Americans share, for example, that the dignity of all persons ought to be respected, that tolerance is a virtue and discrimination abhorrent, that peaceful resolution of conflicts is superior to violence, that generally truth-telling is morally superior to lying, that democratic government is morally superior to totalitarianism and authoritarianism, that one ought to give a day's work for a day's pay, that saving for one's own and one's country's future is better than squandering one's income and relying on others to attend to one's future needs. (The Communitarian Vision: Schools and Education, 2010, para. 2)

The network has many educators that are part of it and involved in its dialogue with government officials and business leaders. Also, the network produces several articles

that are geared for character education and the teaching of morals and values in public

and private education.

Components of Successful Character Education Initiatives

Many have touted that character education needs to be a part of the everyday

school curriculum as it once was in the early history of the United States. Character

education has been

> demonstrated to be associated with academic motivation and aspirations,
>
> academic achievement, prosocial behavior, bonding to school, prosocial and
>
> democratic values, conflict-resolution skills, moral reasoning maturity,
>
> responsibility, respect, self-efficacy, self-control, self-esteem, social skills, and
>
> trust in and respect for teachers. (Berkowitz & Bier, 2004, p. 80)

These are skills and values which make up a successful adult and must be practiced

regularly by youth to ensure that they are prepared following graduation. Lickona (1993)

believes that schools need to determine what character values they want to focus on and

ways to implement them into their curriculum. Schools then must help children

understand these core values, adopt or commit to them, and then act upon them in their

own lives (Lickona, 1993). Once students learn proper values we need to nurture and

develop their growth and students' understanding. The CEP outlines what an effective

character education initiative is composed of:

> To be effective, character education must include all stakeholders in a school
>
> community and must permeate school climate and curriculum. Character
>
> education includes a broad range of concepts such as positive school culture,
>
> moral education, just communities, caring school communities, social-emotional

learning, positive youth development, civic education, and service learning. All of these approaches promote the intellectual, social, emotional, and ethical development of young people and share a commitment to help young people become responsible, caring, and contributing citizens. Character education so conceived helps students to develop important human qualities such as justice, diligence, compassion, respect, and courage, and to understand why it is important to live by them. Quality character education creates an integrated culture of character that supports and challenges students and adults to strive for excellence. (Lickona, Schaps, & Lewis, 1995)

In addition to this, comprehensive successful character education initiatives entail: "student empowerment, constructivist principles, collaborative learning, opportunities for student reflection, a focus on the deep and powerful truths of human experience, and applications of course content to real-life projects (e.g., service learning)" (Berkowitz & Bier, 2004, p. 78). In, *Educating for Character*, Lickona (1991) elaborated on his understanding of a comprehensive model of character education:

Comprehensive character education asserts that effective character education must encompass the total moral life of the classroom and school. A comprehensive approach recognizes that all interactions in the school—the way adults treat students, the way students treat adults, the way students are permitted to treat each other, the way the administration treats staff and parents, and the way sports are conducted, conflicts resolved, and grades given—send moral messages and affect students' developing character. Both explicit moral instruction (such as explanation, exhortation, and curriculum-based lessons in virtue) and implicit

moral teaching (through processes such as modeling, discipline, and cooperative

learning) are part of the moral life of the school. (p. 70)

A comprehensive character education initiative encompasses everything that occurs in the

school and influences the overall structure of the school.

In the meta-analysis study mentioned above by Berkowitz and Bier (2007), *What*

Works in Character Education, they identify specific factors that were characteristic of

effective character education initiatives:

- Professional development. All 33 of the effective initiatives identified

  incorporated ongoing professional development.

- Peer interaction. All 33 incorporated strategies for fostering peer interaction,

  such as discussion, role playing, and cooperative learning.

- Direct teaching and skill training. Many of the initiatives included direct

  instruction about character as well as teaching of specific intrapersonal (e.g.

  self-management) and interpersonal (e.g. conflict resolution) skills and

  capacities.

- Explicit agenda. More than half the initiatives studied use specific language

  about character, morality, values, or ethics.

- Family and/or community involvement. Including parents and other

  community members, bot as recipients of character education and as

  participants in the design and delivery of the initiatives, was a common

  strategy.

- Models and mentors. Both peer and adult role models foster character

  development.

- Integration into academic curricula. Nearly half of the effective initiatives are integrated with academic curricula in some way, most often in social studies and language arts curricula.

- Use of multiple strategies. Virtually all of the effective initiatives use a multi-strategy approach, rather than relying on a single model or tool.

Using these approaches or a mixture of these approaches has proven to be effective in developing and implementing a successful character education initiative.

In the study *Smart and Good High Schools: Integrating Excellence and Ethics for Success in School Work and Beyond*, Lickona and Davidson (2005) developed a blueprint for building high schools committed to excellence and ethics. The grounded theory research was done over a two year period and included assembling a database of literature, site visits to 24 diverse high performing high schools throughout the country, guidance from two panels, and supplemental interviews. They concluded with five principles for high schools to use to develop a school based on excellence and ethics:

1. Make the development of performance character and moral character—the integration of excellence and ethics—the cornerstone of the school's mission and identity. Define performance character and moral character in terms of 8 strengths of character needed for human flourishing over a lifetime: (1) lifelong learner and critical thinker, (2) diligent and capable performer, (3) socially and emotionally skilled person, (4) ethical thinker, (5) respectful and responsible moral agent, (6) self-disciplined person, (7) contributing community member and democratic citizen, and (8) spiritual person engaged in crafting a life of noble purpose.

2. Work to establish the conditions that support the implementation of the Smart and Good High School vision, which include: strong leadership, optimal school size, time for planning and reflection, supportive scheduling, manageable teaching loads, a safe and orderly environment, trusting and respectful relationships, and adequate budgetary resources.

3. As individual practitioners, capitalize on the Power of One—your personal contribution to the performance character and moral character of every student.

4. Develop an Ethical Learning Community (ELC)—a partnership of staff, students, parents, and the wider community.

5. Build a Professional Ethical Learning Community (PELC) among faculty, staff, and administration. (p. xxvi)

Character education in schools is most effectively taught in the classroom by effective teachers who understand character education. Lickona (1993) gives an outline of what a classroom teacher must do and be involved in for a comprehensive character education initiative approach:

- Act as caregiver, model, and mentor, treating students with love and respect, setting a good example.

- Create a moral community, helping students know one another as persons, respect and care about one another.

- Practice moral discipline, using the creation and enforcement of rules as opportunities to foster moral reasoning, voluntary compliance with rules, and a respect for others.

- Create a democratic classroom environment, involving students in decision making and making the responsibility for making the classroom a good place to be and learn.

- Teach values through the curriculum.

- Use cooperative learning to develop students' appreciation of others.

- Develop the "conscience of craft" by fostering students' appreciation of learning, capacity for hard work, commitment to excellence, and sense of work as affecting the lives of others.

- Encourage moral reflection through reading, research, essay writing, journal keeping, discussion, and debate.

- Teach conflict resolution.

- Foster caring beyond the classroom, using positive role models to inspire altruistic behavior and providing opportunities at every grade level to perform school and community service.

- Create a positive moral culture in the school, developing a school wide ethos.

- Recruit parents and the community as partners in character education. (pp. 10-11)

There are many things that go into each of these areas to ensure that an effective character education initiative is fully functional. These are general areas that are focused on in classrooms and across schools to promote the development of character.

Development of Leadership

Leadership is key to a successful character education initiative and is a topic that researchers, philosophers, and many others continue to study but struggle to understand it

fully (DeRoche & Williams, 2001). Leadership theories have evolved and changed many times throughout the shifting world especially during the twentieth century (Hoy & Miskel, 2008). As researchers try to "analyze the term leadership, more elaborate and sophisticated definitions evolve" (Gorton, Alston, & Snowden, 2007, p. 5). It is not "surprising that definitions of the concept are almost as numerous as the scholars engaged in the study" (Hoy & Miskel, 2008, p. 418). The definition must be broad enough to explain all the qualities of an effective leader, yet narrow enough to capture the essence of a leader. There are hundreds of definitions on leadership and it is "extremely complex and elusive concept, some conceptual confusion and empirical shortcomings are to be expected" (Hoy & Miskel, 2008, p. 453). For example, Bennis (1989) stated, "leadership is like beauty—it is hard to define, but you know it when you see it" (p. xxx). Dwight D. Eisenhower, one of the greatest leaders in U.S. history, defines leadership as: "Leadership is the art of getting someone else to do something you want done because he wants to do it" (Hughes, Ginnet, & Curphy, 2006, p. 405). There are many definitions and theories on leadership and this section will evaluate research on the traits and skills of leaders and effective leadership practices.

Traits and skills of leaders. There are many skills and attributes that make up an effective leader. According to Berkowitz (2012) a great school leader is made up of the following:

A great [leader] has a vision that focuses on the best interests first of students and second of all members of the school community. A great [leader] has at least above average, if not exemplary, social and emotional skills. He or she has accurate and deep self-knowledge and self-control. He or she has excellent social

skills, including the ability to understand others and their feelings, to listen

authentically, to build and repair relationships, to mediate conflicts, and to enlist,

inspire, and mentor others. (pp. 138-139)

These skills combined create a leader who leads with referent power. A leader who

exercises referent power have people follow the them because the follower admires or

identifies with the agent and wants to gain the leader's approval (French & Raven, 1959).

Hoy and Miskel (2008) further described referent power as:

An administrator's ability to influence behavior based on subordinates' liking and

identification with the administrator …. The individual with referent power is

admired and respected, and serves as a model to be emulated. The source of

referent power rests with the extraordinary personality and skilled interpersonal

relations of the individual. (p. 226)

The extraordinary personality and interpersonal skills make up a person's charisma, "a

combination of qualities that add to a personal dynamism or aura that draws others"

(Gorton et al., 2007, p. 63). The leader uses charisma to get followers to do what he

wants. Charismatic leaders are inspiring and attract followers. Followers

admire and respect leaders who are dynamic, uplifting, enthusiastic, positive, and

optimistic. [Followers] …expect them [leaders] to be inspiring….They must be

able to communicate these in ways that encourage us to sign on to the duration

and to work hard toward the objective. (Kouzes & Posner, 1993, p. 16)

Followers work hard toward the objective because a charismatic leader is effective at

developing relationships based on influence. A leader's influence "energizes people by

projecting an attractive and optimistic future, emphasizing ambitious goals, and creating,

idealized visions for the organization" (Hoy & Miskel, 2008, p. 447). Further, Rost

(1991) describes influence as a "relationship among leaders and followers who intend

real changes that reflect their mutual purposes" (p. 102). People are attracted to energetic

leaders who have mutual purposes and visions of the future and these followers are

willing to do what the leaders want. There is a "dark side" to leaders who misuse

charisma and history is replete with them, such as: Adolf Hitler, Jim Jones, and Joseph

Stalin. These leaders who misuse charisma have "an overpower sense of self-importance

and emphasize a devotion to themselves over their mission. They also are likely to

promote personal identification and dependence on themselves [rather than the]

ideological goals they are promoting" (Sankar, 2003, p. 47). In order to use the charisma

as an effective tool, leaders must exhibit ethical leadership that is based on an altruistic

intent (Sankar, 2003).

Relationships are another major component of leadership, Covey (1990) states,

"The foundation lies with people and relationships. When we ignore the foundation, our

improvement initiatives will fail or falter" (p. 118). Marzano, Waters, and McNulty

(2005) believe that "effective relationships are central to the effective execution of the

other [leadership] responsibilities (p. 58). Elmore (2000) notes that "in the panoply of

rewards and sanctions that attach to accountability systems, the most powerful incentives

reside in the face-to-face relationships among people in the organization, not in the

external systems" (p. 31). Relationships are the strongest tool that a leader can use to help

followers and the organization they are leading.

An effective relationship between leader and follower is based on a mutual

purpose that is nourished by a positive culture and shared leadership (Rost, 1991). The

leader and the follower must have common purposes, "the changes cannot reflect only what the leaders want or what the followers want" (Rost, 1991, p. 118). Both the leader and the follower must develop a relationship based on common goals and as they work together both are benefited. Mutual goals become common purposes "because followers and leaders engage in leadership together" (Rost, 1991, p. 123). Mutual goals are best shared in an environment where effective relationships are nourished and encouraged (Marzano et al., 2005). An environment that encourages these types of relationships is one that supports a professional atmosphere. An organization with a professional atmosphere and culture views "members of the staff … as professionals who have the expertise and competence to make important organizational decisions" (Hoy & Miskel, 2008, p. 106). Spreading leadership in an organization empowers other individuals and allows other to share in the decision making.

The "art" leadership is what attracts followers to a leader, much like bees to flowers (House, 1977). People are attracted to these leaders according to Hoy and Miskel (2008) because they

> display conviction about important issues; exhibit high standards of ethical and
> moral conduct, sharing risks with followers in setting and attaining goals;
> consider the needs of others over their own; and use power to move individuals or
> groups toward accomplishing their mission, vision and cause, but never for
> personal gain. (p. 446)

People are attracted to a leader when the leader follows and exhibits high morals, values, and principles (Sankar, 2003). Lickona (1991) indicated that moral leadership is necessary in developing an effective school for academics and character education. One

value that is necessary for an effective leader is trust, "trust in schools is important because it facilitates cooperation" (Tschannen-Moran, 2001, p. 313). One must first be honest to build trust with followers. In a survey of leadership characteristics the one most often selected was honesty, "Honesty is absolutely essential to leadership" (Kouzes & Posner, 1993, p. 14). By being open and honest, people learn to trust and want to follow those that are leading and do what the leader wants them to do (Sankar, 2003). The author Pearl S. Buck (1961) said about trust and integrity:

> Integrity is honesty carried through the fibers of the being and the whole mind, into thought as well as action so that the person is complete in honesty. That kind of integrity I put above all else as an essential of leadership. (as cited in Bower, 1966, p. 253)

Further, Sankar (2003) stated, "without integrity, ability and motivation are useless because the individual would use his or her skills and drive to deceive and evade" (p. 48). Trust is the bridge that connects the art of leadership to cooperation between leader and follower (Sankar, 2003).

Effective leadership. Effective leadership is found in those that exercise transformational leadership and is assumed to produce results beyond expectations (Bass, 1985; Burns, 1978). Those that exercise transformational leadership are able to build the trust of followers and make effective changes (Rowold & Heinitz, 2007). Transformational leadership is found in those that utilize moral and servant leadership. Transformational leadership creates a relationship which is beneficial "in such a way that leaders and followers raise one another to higher levels of motivation and morality" (Burns, 1978, p. 20).

Hoy and Miskel (2008) described three types of leadership: laissez-fair, transactional, and transformational:

- Laissez-faire leaders avoid expressing their views or taking action on important issues, fail to make or at least delay decisions, ignore responsibilities, provide no feedback, and allow authority to remain dormant.

- Transactional leaders motivate followers by exchanging rewards for services rendered.

- Transformational leaders are proactive, raise the awareness levels of followers about inspirational collective interests, and help followers achieve unusually high performance outcomes. (p. 445)

Transformational leadership is the goal of effective leadership and is necessary to exercise to ensure the success of a character education initiative (Schwartz, 2008). This type of leadership affects the whole school structure and determines what kind of relationships, atmosphere, and cultures are created. Transformational leadership according to Leithwood (1992) is "a form of consensual or facilitative power that is manifested through other people instead of over other people" (p. 9). Transformational leaders follow the Educational Leadership Standards: Interstate School Leaders' Licensure Consortium (ISLLC) (2008) in all they do:

1. Setting a widely shared vision for learning;

2. Developing a school culture and instructional program conducive to student learning and staff professional growth;

3. Ensuring effective management of the organization, operation, and resources for a safe, efficient, and effective learning environment;

4. Collaborating with faculty and community members, responding to diverse

   community interests and needs, and mobilizing community resources;

5. Acting with integrity, fairness, and in an ethical manner; and

6. Understanding, responding to, and influencing the political, social, legal, and

   cultural contexts. (Council of Chief State School Officers, 2008, p. 6)

Also, according to a study done by Kouzes and Posner (1995) there are four top qualities

that leaders exemplify as transformational leaders: honest, forward-looking, inspirational,

and competent" (p. 22). In addition, transformational or admired leadership is composed

of three additional elements:

1. A collaborative, shared decision-making approach;

2. An emphasis on teacher professionalism and empowerment;

3. An understanding of change, including how to encourage change in others.

   (Gorton et al., 2007, p. 15)

Transformational admired leaders have the abilities to see the complete picture of a

school, focus efforts on continuous school and staff improvement, and make everyone

feel involved and part of a team. Being a transformational leader is necessary when

creating, implementing, and maintaining a character education initiative (Schwartz,

2008). School initiatives have the best chance for success by exercising the skills of a

transformational leader (Leithwood, Jantzi, & Steinbach, 1999).

Schein (1992) also talked about the leadership practices that give leaders the best

chance for success. He gave four areas that leaders are focusing on depending on the

situation the organization is in:

- Creating: The leader as animator. At the early stages of organizational creation, a unique leadership function is to supply the energy needed to get the organization off the ground.

- Building: The leader as a creator of culture. Once the organization has the potential to live and survive, the [leader's] beliefs, values, and basic assumptions are transferred to the mental models of the subordinates.

- Maintaining: The leader as a sustainer of culture. This is a period that we often think as "institutionalization;" it consists of identifying the successful elements and giving them permanence and stability.

- Changing: The leader as change agent. Leaders now have to begin to think like change agents, because the problem is not only how to acquire new concepts and skills, but also how to unlearn things that are no longer serving the organization well.

All organizations are changing and developing and an effective leader must change along with these developments in order to be effective. An effective leader must be flexible and play a different role depending on the cycle the organization is in.

Moral leadership. Those that desire to lead must look at themselves internally to develop effective leadership characteristics based on strong values. Garfield (1986) states that, "The primary locus of control for a peak performer is not external but internal" (p. 29). An effective leader one must have high expectations and morals for oneself (Sankar, 2003). Leaders must be good examples in order to attract followers and build trust. Moral leadership is a component of transformational leadership, according to Burns (1978):

Such leadership [transforming leadership] occurs when one or more persons

engage with others in such a way that leaders and followers raise one another to

higher levels of motivation and morality. Transforming leadership ultimately

becomes *moral* in that it raises the level of human conduct and ethical aspiration

of both leader and led, and thus it has a transforming effect on both. (p. 20)

Leaders have to be good examples of an ethical leader who makes decisions based on the

needs of others. According to Berkowitz (2011):

An important task of the effective leader is to walk the talk, i.e., to be a role

model. We must be the character we want to see in others and for principals, we

must be the character educator that we want to see in our staff. She must be the

kind of person (have the character) that she wants her staff and students (and all

other stakeholders) to be. (p. 109)

In any school or institution, in order for change to occur, the one leading the change must

be modeling the behavior that is desired (Bass, 1985; Burns, 1978; House, 1977).

According to Covey (1990) "Real leadership power comes from an honorable character

and from the exercise of certain tools and principles" (p. 101). Sergiovanni (1999) echoed

these ideas and states:

Ask the next five people you meet to list three persons they know, either

personally or from history, who they consider to be authentic leaders. Then have

them describe these leaders. Chances are your respondents will mention integrity,

reliability, moral excellence, a sense of purpose, firmness of conviction,

steadiness, and unique qualities of style and substance that differentiate the

leaders they choose from others. Key in this list of characteristics is the

importance of substance, distinctive qualities, and moral underpinnings. Authentic

leaders anchor their practice in ideas, values, and commitments, exhibit

distinctive qualities of style and substance, and can be trusted to be morally

diligent in advancing the enterprises they lead. Authentic leaders, in other words,

display character, and character is the defining characteristic of authentic

leadership. (p. 17)

In order to be an authentic transformative leader one must first be a moral leader with

high morals and characteristics that make them someone that others want to emulate and

follow (Sergiovanni, 2007).

   Servant leadership. Greenleaf (2003) created the term "servant leader" when he

wrote that a servant leader ensures that the needs of others are met. When meeting the

needs of others trust is built and the leaders help transform the followers to a higher plane

of devotion and dedication (Hoy & Tschannen-Moran, 2003). The basic tenants of

servant leadership, according to Sergiovanni (2007), are rooted in the biblical verse found

in Matthew 20:25-27:

   Ye know that rulers of the Gentiles lorded over them, and that their great ones

   exercised authority over them. Not so shall it be among you: but whosoever

   would become great among you shall be your minister and whosoever would be

   first among you shall be your servant. (English Standard Version)

In order to be an effective leader one must first learn to be an effective follower, which is

the foundation that must be created first for servant leadership (Greenleaf, 2003). Leaders

that understand the role of followers spend their energies and time serving the followers.

Greenleaf (2003) describes the role of a servant leader:

> The servant-leader is servant first.... It begins with the natural feeling that one
> wants to serve, to serve first. Then conscious choice brings one to aspire to lead.
> He or she is sharply different from the person who is leader first, perhaps because
> of the need to assuage an unusual power drive or to acquire material possessions.
> (p. 16)

Berkowitz (2011) builds on Greenleaf's thoughts and states "when a leader understands that his primary role is to serve his school and its stakeholders, then he is open to a path toward success" (p. 109). The focus of an effective transformative leader is one who puts others' needs before their own. Servant leadership is a good descriptor of what it means to be a principal according to Sergiovanni (2007):

> Principals are responsible for "ministering" to the needs of the schools they serve.
> They minister by furnishing help and being of service to parents, teachers, and
> students. They minister by providing leadership in a way that encourages others to
> be leaders in their own right. (p. 34)

Principals play many different roles and ministering to the needs of others is a main component of their job. By serving others and meeting their needs a leader encourages and transforms others to be better. According to Greanleaf (2003) this transforming process happens while exercising servant leadership which is "the secret of institution building, [which] welds … a team of people by lifting them up to grow taller than they would otherwise be" (p. 50).

The Principal's Roles

Principals play many different diverse roles in the management and leadership of a school. Principals' roles have changed over the past century with the increased demands

put on the schools (DuFour, 1999). The original principal was called a "principal teacher"

and was required to teach in addition to fulfill many roles in the community and guide

new teachers in improving their instruction techniques (Rousmaniere, 2007). Eventually

the roles and responsibilities became too great for the principal teacher and they started to

strictly concentrate on managing and leading schools and the "teacher" in their role was

dropped (Rousmaniere, 2007). The roles that a principal now plays include

responsibilities of "personnel, students, government and public relations, finance,

instruction, academic performance, cultural and strategic planning" (Lynch, 2012, p. 31).

The Interstate School Leaders' Licensure Consortium (ISLLC) updated its standards in

2008, noting that mounting demands of the profession were "rewriting administrators'

job descriptions every year, making them more complex than ever" (Council of Chief

State School Officers, 2008, p. 3). Principals are responsible for the success and failures

of their schools and must be dynamic and knowledgeable in taking on each role that is

required as more and more is required of schools. Principals must develop the trust and

respect of their colleagues, students, and community members in order to best fulfill the

roles that are required of them.

The main roles and their accompanying responsibilities of principals are varied

and demanding as outlined by Horng, Klasik, and Loeb (2010) in Table 3.

Table 3

Roles and Responsibilities of Principals

Task Category	Individual Tasks
Administration	Fulfilling compliance requirements
	Managing school schedules
	Managing student discipline
	Managing student services
	Managing student attendance
	Preparing and implementing standardized tests
	Supervising students
	Fulfilling Special Education requirements
Organization Management	Managing budgets, resources
	Hiring personnel
	Dealing with concerns from teachers
	Managing non-instructional staff
	Networking with other principals
	Managing personal schedule
	Maintaining campus facilities
	Developing and monitoring a safe school environment
Day-to-Day Instruction	Informally coaching teachers to improve instruction
	Formally evaluating teachers
	Conducting classroom observations
	Implementing required professional development
	Using data to inform instruction
	Teaching students
Instructional Program	Developing an educational program across the school
	Evaluating curriculum
	Using assessment results for program evaluation and development
	Planning professional development for teachers

	Planning professional development for prospective principals
	Releasing or counseling out teachers
	Planning or directing supplementary or after school instruction
	Utilizing school meetings
Internal Relations	Developing relationships with students
	Communicating with parents
	Interacting socially with staff about non-school related topic
	Interacting socially with staff about school-related topic
	Attending school activities
	Counseling staff
	Counseling students and/or parents
	Informally talking to teachers about students, not related to instruction
External Relations	Working with local community members or organizations
	Fundraising
	Communicating with the district office to obtain resources (initiated by principal)
	Utilizing district office communication (initiated by district)

Note. Adapted from "Principal's time use and school effectiveness," by E. L. Horng, D. Klasik, and S. Loeb, 2010, *American Journal of Education*, 116, p. 495. Adapted with permission.

A principal is never able to fulfill all roles and responsibilities perfectly but must choose which ones to focus on the most to ensure that the school is improving and providing the necessary education for the students. A character education initiative can lighten the roles and responsibilities of principals as it improves student and staff morale, school climate, and raises the overall expectations for the school (Schwartz, 2008; DeRoche & Williams,

2001). The specific leadership qualities and roles of a principal in a character education

initiative are discussed in more depth in the following sections.

Leadership and Character Education

Leadership is key to the success of any school program or initiative (Marzano et

al., 2005). In the past several decades many studies have been conducted that have

evaluated the relationship between leadership behavior and various indicators of

leadership effectiveness (Yukl, 2005). However, there has been little substantive research

that has examined the principal's role in a character education initiative (Berkowitz,

2011). This section will evaluate research on the role a leader plays in effective character

education initiatives, specifically the strong role a principal plays in a character education

initiative and the culture and climate that must be developed for a character education

initiative to be successful.

There are few studies evaluating the relationship between leadership and character

education (Berkowitz, 2011). The studies that do exist are found wrapped in with "The

Blue Ribbon Award Program" (Murphy, 1998). The purpose of this program, developed

in 1985, was to recognize schools across the United States who were doing "an

exceptional job with all of their students in developing a solid foundation of basic skills,

knowledge of subject matter, and fostering the development of character, moral values

and ethical judgment" (Murphy, 1998, p. 203). However, few studies have evaluated the

specific components that these principals play in achieving a successful character

education initiative (Berkowitz, 2011). Although there are few studies that specifically

evaluate the principal's role in a character education initiative there are many that talk

about the need for strong leadership in character education initiatives. Leadership is the

first component of an effective character education initiative according to DeRoche and Williams (2001). They indicated that "there is sufficient evidence to suggest that if there is no leadership at the school site, educational reform, school change, or new programs will diminish" (p. 35). DeRoche and Williams (2001) noted that

> the role for leaders in the character education program at each school is to incorporate the program into the current (and probably traditional) partnership programs, or to use the character education program to enhance partnerships that truly engage families and the community in the life of the school and in all of its programs and services. (pp. 136-137)

The school administrator is the key driving force behind an effective character education initiative and ensures that it is infused into not just the school environment but also the community and families.

In the article *Leadership for Character Education Programs* by DeRoche (2000), he outlined the different roles and responsibilities that leaders must assume if they are to administer a comprehensive character education program:

- Leader as visionary. The leader's vision of the school includes its future, possibilities, what might be, and what direction to take the school and why.

- Leader as missionary. The purpose of an organization is its mission and a leader is to help the character education stakeholders develop a mission for the program and keep it current and relevant.

- Leader as consensus builder. The school leader must help school stakeholders agree to the values and their definitions before they are taught in the school and reinforced at home and in the community.

- Leader as knowledge source. The leader has to be a resource of information to answer the many questions that will be asked of him or her. This means that the leader should be aware of the current topics related to character education.

- Leader as standard bearer. A leader should ensure that the character education program is guided by standards.

- Leader as architect. Leaders must organize stakeholders to assist them in carrying out their roles and responsibilities.

- Leader as role model. The leader must be seen as practicing the values promoted in the program while helping others to do the same.

- Leader as risk taker. The leader has to take the stand and bear witness to the proposition that there is more to educating children and youth than increasing their test scores.

- Leader as communicator. The leader is the voice of the program. The purpose of effective internal and external communication about the school's character education program is to build confidence, engender support, and encourage participation.

- Leader as collaborator. A leader who values collaboration is one who helps committee members and other stakeholders clarify their roles and responsibilities, encourages them to build trusting relationships, and engages them in professional development opportunities that contribute to the purposes of the character education program.

- Leader as resource provider. The principal has access to informational and

    financial resources and knows where the resources are and how to obtain

    them.

- Leader as evaluator. The leader's role is to help the stakeholders assess the

    processes they use for program delivery and management, program goals, and

    outcomes. (pp. 41-46)

There are many roles that a principal plays in an effective character education program.

They must be flexible, knowledgeable, good example, and one willing to try out new

things.

　　　　A leader is central to the success of a character education initiative and according

to Lickona (1991), "find a school with a healthy moral environment and a program for

teaching good values and you'll find a principal who is leading the way or supporting

someone else who is" (p. 325). The principal plays an important role, according to

DeRoche and Williams (2001):

　　　　We cannot say enough about the critical effect that leadership has on the

　　　　effectiveness of a character education program. Effective leaders provide and

　　　　maintain a vision for each school site that is based on values that are publicly

　　　　agreed on. The larger work of effective school leaders is to engage all teachers,

　　　　parents, and community members in the building of an ethical school. (p. 70)

The leadership that a principal exercises affects not just the school but the entire

community, since all components of a community are involved in creating an atmosphere

of growth and an effective character education initiative.

The principal is very influential in creating a tone and culture of the school that is

fertile for growth and development of students. Berkowitz and Bier (2004) stated that

"one of the factors that practitioners will repeatedly affirm is that the school leader is the

most critical individual in the success or failure of a character-education initiative" (p.

77). According to Berkowitz (2012) school climate is key to the success of character

education initiatives. He stated that "pursuing the character and citizenship agenda of

schools, the school principal is arguably the single most powerful influence on the school

climate" (p. 131). Deal and Peterson (1999) described the effective culture creates the

following:

- Culture fosters school effectiveness and productivity

- Culture improves collegial and collaborative activities that foster better

   communication and problem-solving practices.

- Culture fosters successful change and improvement efforts.

- Culture builds commitment and identification of staff, students, and

   administrators.

- Culture amplifies the energy, motivation, and vitality of a school staff,

   students, and community.

- Culture increases the focus of daily behavior and attention on what is

   important and valued. (p. 7)

A principal has strong influence over the school climate and culture which is necessary

for a successful character education initiative to work. A school's greatest impact "occurs

not in the formal lessons taught, but in creating a climate which virtues are learned"

(Gorton et al., 2007, p. 158). Character education is a method of culture reform, according to Berkowitz (2011):

> Character education is comprehensive school reform that supports both academic achievement and positive student development. This view of character education is fundamentally based in changing the entire culture, and consequently many of the practices, of a school. (p. 97)

Principals show that character education is a priority by changing the culture and practice of the school through the following means:

1. Leading. The principal should lead the school reform team that focuses on the school culture, climate, and improvement

2. Advocacy. When a principal serves as the town crier for character education, it demonstrates the importance it hold for him or her and ultimately the school.

3. Set, monitor, and enforce clear expectations. Simply saying what staff members are expected to do is not enough. (Berkowitz, 2011, pp. 104-108)

The principal is the one that has the most impact on the culture and climate of the school and must maintain high expectations for themselves, teachers, and students in order to maintain a fertile culture for moral development.

A school leader is a moral mentor and example of high character and virtue for all followers, staff members and community members. According to Walton (1988) leadership and virtue work together:

> The question is not whether virtue can be taught but how it may be taught.
>
> Example, not exhortation, and practice, not principle, take priority: carpenters

become carpenters by building houses; pianists become pianists by playing the

piano; managers become leaders by leading. The same is true of character: people

become virtuous by practicing virtue and by living with moral mentors. If, for any

reason, an organization becomes sidetracked, only managers of sound character

can restore a sense of direction. Disciplined organizations reflect disciplined

leaders whose honed abilities lead them to behave consistently, almost

instinctively, in moral ways. (pp. 177-178)

The principal should be an example of high morals and solid character in order to keep a

character education initiative going in a positive direction. According to Berkowitz

(2012), principals must have the courage to lead, to make difficult decisions, and to incite

change. The principal can be the foundation in creating a character education initiative

that allows students to practice and develop proper values and virtues.

Although there have not been much research done on the nature and impact of

leadership on successful character education initiatives, there are some basic components

that have been found, leaders need to:

- make character education an authentic priority for the school;

- model appropriate character in how they act personally and professionally;

- be an intentional and effective social engineer in promoting a caring and
  ethical culture among staff first and then among all stakeholders;

- foster and model a pedagogy of empowerment where all stakeholders' voices
  are given space, are heard, and make a difference. (Berkowitz, 2011, p. 119)

These components are not only found in good character education initiatives, but in good education. According to Berkowitz (2011), "good character education is good education" (p. 119). Sergiovanni (2007) described good schools as places where

Things "hang together;" a sense of purpose rallies people to common cause; work has meaning and life is significant; teachers and students work together and with spirit; and accomplishments are readily recognized. To say [good] schools have high morale or have students how achieve high test scores or are schools that send more students to college miss the point. [Good education] is all of these and more. (p. 6)

Leadership is made up of many different aspects and attributes, each of which contributes to a good school (Sergiovanni, 2007). This study tried to uncover these leadership attributes and qualities that are exercised in good education and found in high functioning character education initiatives.

Conclusion

Good education is the goal for every school and research has shown that character education is necessary for successful schools and must be a primary focus for principals. Character education dates back to the early Greeks and continued throughout history. As values and society has changed so has the focus of character education, but the main components and values have been kept. Educators, politicians, law enforcement, religious leaders, and families are joining forces to promote character education in response to the weakening values across the United States and the world. Many organizations have been created to help schools and families to focus on character education and the promotion and education of appropriate values that will bring happiness and success to those that

exercise them. School leaders must be highly involved in character education initiatives to ensure success and they must also exercise and be an example of these values and morals. An effective leader who can play all the roles of a dynamic transformational school leader is needed in successful character education initiatives.

Chapter Three: Methodology

The purpose of this study was to investigate the effective practices high school principals utilize in developing, implementing, and sustaining a character education initiative. The research evaluated and developed theories of how principals from award winning character education initiatives develop, implement, and sustain an initiative. The study utilized a grounded theory approach in conducting research and formulating conclusions. The grounded theory approach is "a qualitative research design in which the inquirer generates a general explanation (a theory) of a process, action, or interaction shaped by the views of a large number of participants" (Creswell, 2007, p. 63). The research methodologies are outlined below by describing the research method in more depth, including the research design, the question and subquestions, participants involved in the study, the data collection procedures, and the methods used to analyze the data.

Research Method

There are three types of research design that are used: qualitative, quantitative, and mixed methods. Qualitative research is a "means for exploring and understanding the meaning individuals or groups ascribe to a social or human problem" (Creswell, 2009, p. 4). Quantitative research is a "means for testing objective theories by examining the relationship among variables" (Creswell, 2009, p. 4). Mixed methods research is an approach to inquiry that combines both qualitative and quantitative forms (Creswell, 2009). Out of these three types, qualitative research will be the basis of the research design for this study. Qualitative research "has a long, distinguished, and sometimes anguished history in the human disciplines" (Denzin & Lincoln, 2005, p. 1). Qualitative research was first embraced in the early twentieth century by the sociologists and

anthropologists who used the approach for the study of human group life (Denzin &

Lincoln, 2005). It took many decades for researchers to accept qualitative research as a

major research design and by the end of the 1970s many of the leading research journals

began to publish qualitative research (Seale, Silverman, Gubrium, & Gobo, 2006).

Further, in the 1970s many new research journals emerged that published only qualitative

research studies and articles about qualitative research methods (Denzin & Lincoln,

2005). In the 1980s and 1990s, these new qualitative research journals became more

multidisciplinary and there appeared handbooks, textbooks, dissertation awards, scholarly

associations to promote qualitative research (Denzin & Lincoln, 2011). Qualitative

research has changed and evolved over the past century and is a widely used research

methodology.

Qualitative methodology uses interviews, observations, and documentation

review "to get at the inner experiences of participants, to determine how meanings are

formed through and in culture, and to discover rather than test variables" (Corbin &

Strauss, 2008, p. 12). According to Denzin and Lincoln (2011), qualitative research

consists of:

A situated activity that locates the observer in the world. It consists of a set of

interpretive, material practices that make the world visible. These practices

transform the world. They turn the world into a series of representations,

including field notes, interviews, conversations, photographs, recordings, and

memos to the self. At this level, qualitative research involves an interpretive,

naturalistic approach to the world. This means that qualitative researchers study

things in their natural settings, attempting to makes sense of, or interpret,

phenomena in terms of the meanings people bring to them. (p. 3)

Further, qualitative research shares the basic characteristics of being "rich in description

of people, places, and conversations and not easily handled by standardized procedures"

(Bogdan & Biklen, 2992, p. 2). The purpose and the characteristics of this study make the

qualitative research design appropriate for this study.

Five main qualitative approaches are used most frequently: narrative research,

phenomenology, grounded theory, ethnography, and case study. Narrative research is

rooted in social and humanities disciplines and is based on the "experiences as expressed

in lived and told stories of individuals" (Creswell, 2007, p. 54). A phenomenological

study "describes the meaning for several individuals of their lived experiences of a

concept of a phenomenon" (Creswell, 2007, p. 54). The grounded theory approach

"comprises a systematic, inductive, and comparative approach for conducting inquiry for

the purpose of constructing theory" (Bryant & Charmaz, 2007, p. 1). Ethnographic

research is a design in which "the researcher describes and interprets the shared and

learned patterns of values, behaviors, beliefs, and language of a culture-sharing group

(Harris, 1968). Case study research "involves the study of an issue explored through one

or more cases within a bounded system" (Creswell, 2007, p. 73).

The research in this paper was based on the grounded theory approach—to

discover a theory that is grounded in information from participants who have experienced

the process (Creswell, 2007). The grounded theory approach came into existence just

over 40 years ago in the publication of Glaser and Strauss's initial publican *Awareness of

Dying* (1965). This publication was soon followed by Glaser and Strauss's (1967) book,

The Discovery of Grounded Theory: Strategies for Qualitative Research, which outlined

the grounded theory approach. The grounded theory approach did not become a dominant

qualitative methodology until the late 1980s due to the publication of Strauss's

Qualitative Analysis for Social Sciences (Bryant & Charmaz, 2007). The grounded

theory approach is currently the most widely used and popular qualitative research

method (Bryant & Charmaz, 2007). According to Creswell (2007), grounded theory then

and now is

> A good design to use when a theory is not available to explain a process. The
>
> literature may have models available, but they were developed and tested on
>
> samples and populations other than those of interest to the qualitative researcher.
>
> Also, theories may be present, but they are incomplete because they do not
>
> address potentially valuable variables of interest to the researcher. On the
>
> practical side, a theory may be needed to explain how people are experiencing a
>
> phenomenon, and the grounded theory developed by the researcher will provide
>
> such a general framework. (p. 66)

The nature of a grounded theory approach was best suited for this study which allowed

for a theory to be developed from rich data collected through interviews, NSOC

applications, and news articles about the school. This study used data collected through

interviews, media, and NSOC applications "to move beyond the description and to

generate or discover a theory, an abstract analytical schema of a process, action, or

interaction" (Creswell, 2007, p. 63).

Central Question and Subquestions

The central question is the "broadest questions that could possibly be [posed] about the research problem" (Creswell, 2007, p. 108). The central question that drove this qualitative grounded theory study is:

How do high school principals develop, implement, and sustain a high functioning character education initiative?

The central question is further broken down into subquestions to "narrow the focus of the study but leave open the questioning" (Creswell, 2009, p. 130). Further, the research questions "narrow the purpose of the [study] into specific questions and predictions that will be examined in the study" (Creswell & Plano Clark, 2007, p. 103). The following were the subquestions for this study:

1. What are high school principals' perceptions of the roles they play as they *develop* an award-winning character education initiative?

2. What are high school principals' perceptions of effective practices they utilize as they *develop* an award-winning character education initiative?

3. What are high school principals' perceptions of the roles they play as they *implement* an award-winning character education initiative?

4. What are high school principals' perceptions of effective practices they utilize as they *implement* an award-winning character education initiative?

5. What are high school principals' perceptions of the roles they play as they *sustain* an award-winning character education initiative?

6. What are high school principals' perceptions of effective practices they utilize as they *sustain* an award-winning character education initiative?

Participants

The participants and individuals of interest to the research of this study were high school principals that have participated in the implementation of a character education initiative. Purposeful sampling was used and the researcher selected the participants because the researcher can "purposefully inform an understanding of the research problem and central phenomenon in the study (Creswell, 2007, p. 125). High schools principals of schools that have been recognized as National Schools of Character were chosen and asked to volunteer to be interviewed. Letters of support from Dr. Thomas Lickona and CEP were sent to participants to reinforce the need of the study and to build support and trust in the study (see Appendix C for copies of these letters). Twenty-five high schools have received the award since 2002 and 14 principals were interviewed (see Appendix D for a list of NSOC high schools). Principals of different school sizes and types were chosen throughout the various regions of the country.

Data collection

Creswell (2009) states that "data collection steps include setting the boundaries for the study, collecting information through unstructured or semi-structured observations and interviews, documents, and visual materials, as well as establishing protocol for recording information" (p. 178). The data were collected from the participating schools from around the country that have implemented a character education initiative through CEP or through other programs. The data collection methods and research plan were reviewed and accepted by the University of Montana Institutional Review Board to ensure that the research was ethical and appropriate. The data were collected, organized, and analyzed using QSR-NVivo a computer assisted qualitative data analysis software.

The benefit of NVivo over manual methods "is the ability to organize data and its analysis efficiently" (Bringer, Johnston, & Brackenridge, 2004, p. 250). The following section focuses on the methods of the collection of data, interview protocol, trustworthiness of the data, and the role of the researcher.

     Collection methods. In a grounded theory approach, interviews play a central role in data collection and in this research data were collected from participants through one-on-one interviews (Creswell, 2007). Data collection procedures consisted of:

- The participants chosen were school principals, who work throughout the country that have developed, led, and sustained a character education initiative that has been recognized by the CEP and have been awarded the National School of Character Award.

- The study was explained and outlined to participants.

- The Interview Protocol (see Appendix E) was explained and participants signed the Participant Information and Consent Form (see Appendix F).

- Interviews were done after the participants agreed to contribute and a suitable time determined. The interviews were conducted one-on-one, allowing the "researcher control over the line of questioning" (Creswell, 2009, p. 179).

- Throughout all the interviews the researcher audio recorded the questions and answers to later transcribe and evaluate.

- The participants' identifying information was coded to ensure confidentiality.

The researcher was aware of the limitations of using interviews as outlined by Creswell (2009):

- Interviews provide indirect information filtered through the views of interviewees.

- Researcher's presence may bias responses.

- Not all people are equally articulate and perceptive. (p. 179)

According to Glaser and Strauss (1967), "no one kind of data on a category nor technique for data collection is necessarily appropriate. Different kinds of data give the analyst different views or vantage points from which to understand a category and to develop its properties" (p. 65). Other data were evaluated and gathered through the following sources:

- School websites

- Student and parent handbooks

- NSOC school applications to CEP

- Past CEP surveys

- Articles about school in CEP's annual newsletter, *Schools of Character*

- News articles

- CEP interviews of NSOC schools posted on YouTube

- Any other literature relating to the topic being studied

The interviews and data gathered from these sources gave the researcher a saturated data file which was evaluated to develop a theory. According to Glaser and Strauss (1967), data gathered through a variety of sources "for generating theory is highly beneficial, because it yields more information on categories than any one mode of knowing" (p. 66).

Interview protocol. The interview is the heart of the study and vital that it is planned and done correctly. For qualitative studies researchers "ask open-ended research

questions, wanting to listen to participants [they] are studying and shaping the questions after [they] 'explore,' and [they] refrain from assuming the role of expert researcher with the 'best' questions" (Creswell, 2007, p. 43). Qualitative interviewing is typically semi-structured and the interviewer has a focus but is also afforded flexibility (Bamberger, Rugh, & Mabry, 2006). Participants were asked open-ended questions, which allow participants to "contribute as much detail information as they desire and it allows the researcher to ask probing questions as a means of follow-up" (Turner, 2010, p. 756). Before the study, participants were able to review the study and its purposes and sign the Participant Information and Consent Form. This form communicates to the interviewee the confidentiality practices that will be followed throughout the study, the instructions for the interviewee that were followed so that standard procedures are followed from one interview to another, and that the interviewee can stop the interview study at any time for any reason (Creswell, 2007).

The interview included questions about demographics, attitude, leadership styles, personal values, time management, etc. The demographic component of the interview gathered basic information regarding educational level, educational experience, etc. The attitudinal component was composed of questions about character education and evaluated the participants' thoughts, attitudes, and leadership styles as they related to the implementation of character education.

Interview questions. The interview questions are fundamental to analysis and they must be "good questions, ones that will enhance the discovery of new knowledge" (Corbin & Strauss, 2008, p. 69). Researchers "use in-depth interviewing to explore [and use questions that] are sufficiently general to cover a wide range of experiences and

narrow enough to elicit and elaborate the participant's specific experience" (Charmaz, 2008, p. 29). The research questions were developed "on understanding how individuals experience the process and identifying the steps in the process (What was the process? How did it unfold?)" (Creswell, 2007, p. 66). The core of the interview was based on specific questions that were developed based on current literature (Corbin & Strauss, 2008). Further, these questions

> Allow the participant to reflect anew on phenomena elicit rich data. "Tell me about," "how," "what," and "when" questions yield rich data, particularly when you buttress them with queries to elaborate or to specify such as "Could you describe—further." (Charmaz, 2008, p. 33)

The following questions were developed based on these criteria and rationale for each question is given. Further, the questions were broken down into categories based on the research subquestions: (a) background information, (b) development of character education initiative, (c) implementing of a character education initiative, (d) sustaining of character education initiative, (e) possible follow-up questions:

Background Information. The interviews began with asking questions about some basic information to collect important background data which allowed the interviewer to build trust, confidence, and puts the interviewee at ease (Jacob & Furgerson, 2012). Background information helped in contextualizing the interviewee's answers and was a necessary component of an interview (Bryman, 2012). Further, these questions sought to understand the type of leadership style that the principal exercises.

1. Describe your experience as an educator.
2. Tell me about your educational philosophy.

3. Describe your experience involved with character education.

4. Describe your personal values and morals.

5. How would your staff and colleagues describe your leadership style?

6. Tell me about the character education initiative in your school.

Development and implementation of a character education initiative. These questions sought data regarding the change process and the leadership roles and qualities that were used to instigate the change. According to Schein (1992), "at the early stages of organizational creation, a unique leadership function to supply the energy needed to get the organization off the ground" (pp. 60-61). The questions were seeking to find where this energy is channeled by the leader in initiating change and the implementation of a new character education initiative in a school. Also, this time of implementation and development the leader was acting as change agent during which there is a "genuine change in the leader's behavior and through embedding new definitions in organizational processes and routines" (Schein, 1992, p. 65). The questions were seeking to understand the change in the leader's behavior and the skills, processes, strategies, etc. that were used.

7. Tell me about the process of getting the character education initiative started. Describe your role during this time.

8. Describe the process of how you built support to incorporate a character education initiative.

9. Describe the obstacles in implementing a character education initiative and how they were overcome.

Implementation of a character education initiative. These questions were seeking to understand what a principal does and the leadership practices used while implementing a successful character education initiative. Further, these questions delved into understanding the regular practices that are used by principals to ensure that the character education initiative is accepted and implemented with fidelity throughout the school. This section of questions focused on implementing a character education initiative the principal is building and creating a culture where the initiative will thrive and grow. According to Schein (1992), "it is critical to recognize at this stage that if the organization is successful and the success is attributed to the leader, the leader's entire personality becomes embedded in the culture of the organization" (p. 61). According to Berkowitz (2012) school climate is key to the success of character education initiatives. He states that "pursuing the character and citizenship agenda of schools, the school principal is arguably the single most powerful influence on the school climate" (p. 131). The success of implementing and building a successful character education initiative lies on the shoulders of the principal and these questions sought to understand the practices that a principal uses during this time of development.

10. Describe how you led your staff in the character education initiative.

11. Describe some specific things that you did to ensure the success of the character education initiative.

12. What methods have you used to gain support from school stakeholders?

13. Describe what you have done to ensure that character education is part of the day to day instruction in classes.

14. Describe what you have done to ensure that character education is infused into the school climate and culture.

Sustaining of a character education initiative. These questions were seeking to understand how high school principals sustain and maintain a character education initiative. According to Berkowitz (2012), principals must have the courage to lead, to make difficult decisions, and to incite change. Schein (1992) stated that "successful leaders at this stage are the ones who either have enough personal insight to grow with the organization and change their own outlook or recognize their own limitations and permit other forms of leadership to emerge" (p. 63). These questions were striving to understand the other forms of principal leadership that developed or used during this process.

15. Describe what you have done to help sustain the character education initiative.

16. Describe the obstacles overcome in sustaining the character education initiative.

17. Describe how you have sustained the support for the character education initiative.

Possible follow-up questions. These additional questions were optional for the researcher to further clarify answers and gather more information. Further, the questions were striving to understand the overall changes that the leader and organization have undergone. Schein (1992) stated "the leader must 'walk the talk,' and that, of course, implies that the leader has also undergone a personal transformation as part of the total change process" (p. 65). The transformation processes that the leader, along with the organization has undergone are sought in these questions.

18. What advice would you give to a high school principal considering implementing a character education initiative?

19. What kind of a timeline would you give to a high school principal considering implementing a character education initiative?

20. Describe what you have done as a leader to gain this recognition as a NSOC.

21. Describe why you first considered a character education initiative.

22. Describe the character education training that you have participated in or any ongoing that you are a part of.

23. Tell me about your current school improvement plan as it relates to character education.

These questions encompassed the semi-structured interview and the researcher afforded flexibility to ask additional follow-up questions to probe beyond the question list (Berg, 1998).

Trustworthiness. To address accuracy and reliability, interview questions were created to focus on the spectrum of issues associated with the effective practices of a high school principal in developing, implementing, and sustaining a character education initiative. Also, questions were used to learn the background of each participant and how it would influence the study. Verification of the interview instrument to gather data was established of its trustworthiness through the following:

- Researcher "bias" was minimized by using interview questions, protocol, and criteria that did not emphasize one approach to character education or leadership style.

- Researcher "bias" was minimized by noting the role of the researcher as outlined below.

- Questions were created to address a spectrum of areas that may provide information about the role a principal plays and the effective strategies utilized in developing, implementing, and sustaining a character education initiative.

- Questions were evaluated before use by the dissertation chair and members of the dissertation committee to examine researcher bias and accuracy (Creswell, 2007).

Further, Corbin and Strauss (2008) stated that "the term 'credibility' indicates that findings are trustworthy and believable in that they reflect the participants', researchers', and readers' experiences with a phenomenon but at the same time the explanation is only one of many possible 'plausible' interpretations possible from data" (p. 302). Other methods to establish trustworthiness included the following:

- Data triangulation. This involves using different sources of information in order to increase the validity of the study (Denzin, 1978). The researcher used more than one source to gather data in this study—interviews, NSOC applications, news articles, CEP surveys, and journal articles. These different areas provided corroborating evidence to support and strengthen the conclusions of the study

- Environmental triangulation. This involved the use of different locations, settings, and other key factors related to the environment in which the study took place (Lichtman, 2006). Principals of various high schools across the

country were interviewed. Further, principals of regular, private, and charter

high schools participated in the study.

- Peer review. The study was reviewed by the dissertation committee composed

  of research experts to externally check the research process (Lincoln & Guba,

  1985; Miles & Huberman, 1994; Erlandson, Harris, Skipper, & Allen, 1993).

- Member checking. Following the completion of the first draft of the study the

  researcher solicited participants' views of the credibility of the findings and

  interpretations (Lincoln & Guba, 1985; Miles & Huberman, 1994; Erlandson

  et al., 1993).

- External audit. Throughout the study the researcher had an external consultant

  (the dissertation chair) to examine the study, both the process and the product

  of the account, assessing their accuracy (Lincoln & Guba, 1985; Miles &

  Huberman, 1994; Erlandson et al., 1993).

- Rich, thick descriptions. The researcher described in detail the participants of

  the study. With such detailed descriptions, the researcher enables readers to

  transfer information to other settings and to determine whether the findings

  can be transferred because of shared characteristics (Erlandson et al., 1993).

- Interview transcriptions. Transcribed interviews gave the researcher ideas and

  understanding that are otherwise missed. Coding full transcripts brought the

  researcher to a deeper level of understanding to generate many research

  questions (Charmaz, 2008).

Role of the researcher. For the qualitative research the role of the researcher is

very important since "qualitative research is interpretive research with the inquirer

typically involved in a sustained and intensive experience with participants" (Creswell, 2009, p. 177). Eisner (1991) described that the researcher's background can influence the interpretation and evaluation of data. Eisner suggested that "knowing who the researcher is and where he or she has come from is not all together irrelevant" (p. 193). Throughout the study the researcher was aware of his background in developing questions, interviewing, and analyzing data. This researcher's perception of character education has been shaped by attending church since a child, serving a church mission in Russia for two years, working four years as a high school science teacher and club advisor, working five years as an administrator at a private school for at-risk youth, working three years as a public school administrator, and studying for six years in graduate school in educational leadership. For the past eight years, this researcher has been viewing character education literature through the lens of an administrator. He has participated in the development, implementing, and sustaining of a character education initiative in a private and public school. The researcher acknowledges these biases and his actions can also bias data.

Data analysis. Following the collection of data from external sources and interviews, the data were evaluated to "develop a theory that explains the process, action, or interaction" of principals in recognized character education initiatives (Creswell, 2007, p. 64). Analyzing data "consists of examining the database to address the research questions" (Creswell & Plano Clark, 2007, p. 131). The analysis of data proceeded in stages to ensure that common themes emerge. NVivo assisted in organizing and analyzing data from school websites, school NSOC application, and interviews. The built-in tools in NVivo allowed for "recording decisions, conceptual and theoretical thinking, and links between memos, documents, nodes, and models assists in the

development of a dynamic audit trial to meet the criterion of transparency" (Bringer et

al., 2004, p. 250). NVivo allowed the researcher to utilize computers for recording,

sorting, matching and linking data which harnessed the efficiency of the data analysis

process (Bazeley, 2007). Further, the "use of computers is not intended to replace the

ways the researcher learns from the data, but to increase the effectiveness of such

learning" (Bazeley, 2007, p. 47). The software was used by the researcher to enhance the

analysis of data to develop the best conclusions (Hutchison, Johnston, & Breckon, 2009).

Creswell (2007) describes the stages of data analysis for a grounded theory approach in

this study:

- In open coding, the researcher formed categories of information about the

  phenomenon being studied by segmenting the information. Within each

  category, the investigator found several properties, or subcategories, and

  looked for data to dimensionalize, or show the extreme possibilities on a

  continuum of, the property.

- In axial coding, the investigator assembled the data in new ways after open

  coding. This was presented using a coding paradigm in which the researcher

  identified a central phenomenon, explored causal conditions, specified

  strategies, identified the context and intervening conditions, and delineated the

  consequences for this phenomenon.

- In selective coding, the researcher wrote a "story line" that connected the

  categories. Propositions or hypotheses were specified that stated predicted

  relationships. (p. 67)

The final result was a theory that describes how high school principals develop,
implement, and sustain an award-winning character education initiative.

Summary

The methodology of a study is the foundation to an effective study and must be
planned out well before conducting the actual research. The sections that were outlined,
that created the framework of this study, was a review of the central question with
subquestions, the participants of the study and how they were selected, how the data were
collected through external sources and interviews, the trustworthiness of the data, and
what role the researcher played in conducting this study. Effective research practices and
design was necessary and the goal of this study to determine the effective practices that
principals utilize while leading a high functioning character education initiative. The data
were gathered by interviewing principals to establishing answers for the research
questions. The end result was to discover data and information that could help in
determining what a high school principal does in a high functioning character education
initiative.

Chapter Four: Data Analysis

This study was guided by a central question: How do high school principals develop, implement, and sustain a high functioning character education initiative? Fourteen participants were purposefully selected for this study and were interviewed over a fourteen day period. The participants were individually interviewed by the same researcher in a confidential setting using closed communication resources—telephone, Skype, and Google Hangout. Semi-structured interviews were conducted using a standard protocol and included 17 questions and six possible follow-up questions. These questions sought data relating to the central question discussed previously.

For the purpose of this study, descriptive data were reported in narrative form using direct quotations from the transcribed interviews. Allowing data to speak for themselves through the use of descriptive data and direct quotations strengthens the study and conclusions (Bryant & Charmaz, 2007). Strauss, Fagerhaugh, Suczek, and Weiner (1985) stated that "the personal experiences of each project member enriched both the data collection and the analysis" (p. 294). These quotations are presented verbatim as recorded and transcribed and are associated to the correct participant through a fictitious name. The identities of the participants and the school they are associated with are purposely concealed. The confidentiality of the participants and other corresponding information did not detract from the collection or analysis of the data.

The data were analyzed using the process suggested by Strauss and Corbin (1990; 1998, 2008) by open coding, axial coding, and selective coding. These processes "involves interacting with data (analysis) using techniques such as asking questions about the data, making comparisons between data, and so on, and in doing so, deriving concepts

to stand for those data" (p. 66). During these steps the researcher reduced "data from many cases into concepts and sets of relational statements that can be used to explain, in a general sense, what is going on" (Strauss & Corbin, 1998, p. 145). In these steps the data were decontextualized, analyzed, and recontexualized (Morse & Field, 1995). Starks and Trinidad (2007) described these processes as:

> During decontextualization the analyst separates data from the original context of individual cases and assigns codes to units of meaning in the texts. In recontextualization he or she examines the codes for patterns and then reintegrates, organizes, and reduces the data around central themes and relationships drawn across all the cases and narratives. (p. 1375)

Chapter Four discusses the analysis of the data starting with the presentation of the subcategories and the general information of the participants followed by the open coding, axial coding, and selective coding processes.

Findings

The analysis of data yielded one core category—Principal Leadership in a Character Education Initiative. According to Strauss and Corbin (1990), "the core category represents the central phenomenon around which all the other categories are integrated" (p. 116). The subcategories relate back to the core category and in this study six subcategories were discovered: (a) Cultural Engineer, (b) Plate Peddler, (c) Collaborative Leader, (d) Reflective Leader, (e) Moral Leader, and (f) Champion. The relationships and patterns between categories and their properties comprise the narrative of this study (Bernard & Ryan, 2010). The depth of data provided through the semi-

structured interviews of the participants and the data from the external sources allowed this narrative to be developed.

Questions arising from interview questions allowed the researcher to gather data from participants who provided detailed descriptions of their thoughts, feelings, experiences, and ideas. General participant information can be found on Table 4. Table 4 presents demographic information for each participant: the participant number, gender, years in education, school size, school type, and the region of the country in which the school is located.

Table 4

Participant Information

Subject Number	Gender	Years in Education	Year Awarded NSOC	School Size	School Type	Country Region
1	F	20-25	2004	1,000-1,500	public	NE
2	M	25-30	2000	1,500-1,550	public	S
3	F	15-20	2013	150-200	public-alternative	MW
4	F	10-15	2010	450-500	public	MW
5	M	20-25	1998	2,750-2,800	public	W
6	M	10-15	2002	300-350	private	NE
7	M		2002	75-80	public-alternative	NE
8	F	5-10	2004	2,550-2,600	public	W
9	F	15-20	2008	2,600-2,650	public	MW
10	M	20-25	2012	50-100	private-alternative	W
11	F	10-15	2002	100-150	public-alternative	MW
12	F	30-35	2012	150-200	public-SPED	MW
13	M	15-20	2013	750-800	public	NE
14	M	20-25	2011	2,800-2,850	public	NE

Open coding

Open coding according to Corbin and Strauss (2008) involves "breaking data apart and delineating concepts to stand for blocks of raw data. At the same time, one is qualifying those concepts in terms of their properties and dimensions" (p. 195). In this

first phase the researcher is comparing data and continually asking questions about what

is and is not understood and making comparisons (Strauss & Corbin, 1998). During this

phase, the researcher must make "sense" out of what was just uncovered and compile the

data into sections or groups of information, also known as themes or codes (Creswell,

2007). These themes or codes are consistent phrases, expressions, or ideas that were

common among research participants (Kvale, 2007). Open coding produced six general

categories: (a) Cultural Engineer, (b) Plate Peddler, (c) Collaborative Leader, (d)

Reflective Leader, (e) Moral Leader, and (f) Champion. Open coding stimulates the

discovery of these categories along with their associated properties and dimensions

(Strauss & Corbin, 1998). These are defined by Corbin and Strauss (2008) as:

- Properties. Characteristics or components of an object, event, or action. The

  characteristics give specificity to and define an object, event, and/or action.

  (p. 46)

- Dimensions. Variations within properties that give specificity and range to

  concepts. (p. 159)

Each of the categories was examined based on their properties and dimensions. The first

of these categories to be examined was cultural engineer.

Cultural Engineer. An engineer is a person "who operates or supervises an

operation through the planning, designing, construction, and management of the

operation; they plan and direct skillfully and give guidance (Neufeldt & Guralnik, 1991,

p. 450). A cultural engineer oversees the planning, designing, and development of the

culture of the school through various means outlined in the different properties of this

section. Table 5 presents the category of cultural engineer and the dimensional range

associated with the category.

Table 5

Properties and Dimensional Range of the Cultural Engineer Category

Category	Properties	Dimensional Range	
Cultural Engineer	Visionary	vision of one ➡	shared vision
	Clarifier	little involvement in giving clarity and direction to the initiative ➡	highly involved in giving clarity and direction to initiative
	Planner/Organizer	little involvement in the planning and development of the initiative ➡	highly involved in the planning and development of the initiative
	Designer	little involvement in making CE part of each aspect of the school ➡	highly involved in making CE part of each aspect of the school

The following descriptive narratives support and clarify the category of cultural engineer.

The narratives were developed and based off of the data collected from each participant.

Further, after the data for each property was reported in narrative form, the data were

then related to the literature review.

   Visionary. Many participants described developing and following a vision of the

character education initiative was centered on and how it affected the culture of the

school. As a cultural engineer the principal had a vision of where the character education

initiative needed to go and what the end result was to look like. The vision acted like the

axis for the character education initiative. Decisions, activities, and actions in the development, implementation, and sustaining of the character education initiative were centered on the vision, mission, and beliefs of the principal and school stakeholders. In most cases the principal helped in forming the vision and ensured that the character education initiative was focused on the vision of the school stakeholders. The principals described how the visions were developed and how they helped give guidance and direction to the character education initiative throughout its development and implementation. The principals explained often how the vision was key in ensuring that the character education initiative was on the right path throughout the development of the initiative.

The majority of the participants reported that the vision is what grounded and drove the character education initiative throughout the development, implementation, and sustaining processes and changed the culture of the school. The participants repeatedly stated that vision starts as a vision of the principal and is promoted by the principal to be accepted and valued by the rest of the school stakeholders. One participant, Ann stated that the vision is what is expected,

Well they know I expect it. That's what I do. My expectation is…They know this

is my vision. They know that I'm all about kids and good character, and that I

believe that if we don't create both—educate them and create good people.

Jennifer, stated in regards to her vision "we're never done; we're always looking to the future and what opportunities we have for improvement."

The participants reported that a shared vision was necessary for a successful character education initiative. In the submitted NSOC applications the following statements were shared in relation to a shared vision:

- "Clearly, our success has come from the collaboration of all stakeholders. On a building level, we established a vision of what we hoped to become and measure our progress against that vision."

- "By engaging parents in our vision, CHS has created a caring community."

- "Create a shared vision for character education based on excellence and ethics by promoting high expectations for students and adults."

Further, a community member of one school also stated that "It takes the vision of a strong administration and board, the dedication of our talented teachers and the support of the parent community working together help each student to open their eyes to the world around them." High school principals that were interviewed shared the same sentiments. Ann stated, in regards to a shared vision, "It has to be a vision and they—teachers, students, parents—they all feel very comfortable with coming to me with all these ideas and what they want to do because we believe it."

Most participants noted that the vision becomes a shared long-term vision as more and more school stakeholders believe and support it. One participant, Joe related that the vision that he helped establish is still being shared and used long after his tenure of principal ended. He stated,

I think just the fact that mission statement, that vision statement—purpose, pride, performance—20 years later is just as important to everybody as it was when we first stated it, in fact I drove by the school the other day, they put up a new

marquee, right out in front of the school as you drive by it, and on the marquee

are three huge letters Purpose, Pride and Performance.

The majority of the participants noted that it takes time to establish a vision that will

become the foundation for the school and branded into all areas of the school. One

participant, Dave stated in support of a long-term shared vision, "So when instituting a

program of some kind there's this need for patient-over-time and a step-by-step approach

that is buttressed by a long-term vision that is supported."

Clarifier. Many participants described their role as one that gives clarity to ensure

that the plans, goals, and initiative stay on track. Dave, the director of a residential

boarding school for at-risk youth, reflected on the clarifying process that he led his school

through in establishing an effective character education initiative and creating a healthy

culture. He felt that his role as clarifier was exercised on a regular basis and stated, "I

helped to shape some of the processes that we used on a daily or weekly or monthly or

semester basis to ensure that the idea of ethical behavior of respectful co-living, were

seen as values to be pursued." Another participant, Sue, stated that she was there in

ensuring that the initiative stayed on the correct path and the culture was being developed

as planned:

> I'm always involved in, obviously the final decision, as far as what we're going to
>
> do now they [teachers] always come to me and say, "what do you think, what do
>
> you think," but as far as the planning phases of it… I'm always involved in that.

Planner/Organizer. All the participants described their role as one that helps to

oversee the planning and organizing of the character education initiative and how it

affected the culture of the school. They described the process of creating an action plan

and being deliberate in the process of developing, implementing, and sustaining a

character education initiative. During the development process, Ben stated that

> The first thing is to determine what kind of behavior and atmosphere we want in a
>
> school and then to deliberately and explicitly promote that. At every turn, we have
>
> to promote what we want in our institutions so that when it is not there, it is
>
> obvious to everyone.

According to one school's NSOC application, their approach "to stimulate development

is comprehensive, intentional, and proactive." Joe stated that he helps his staff do

character education "by design and not by chance, like we just happened to come across

this." Each participant described the planning and organizing that must be done on a

regular basis. Dave described how he would talk with his staff:

> Okay, we're going to do one or two things this trimester, and that's it. And I got it
>
> that there's a lot of things that need to be done, but we're going to do these things
>
> and we're going to do them well, and they're going to take, and then, next
>
> trimester we get to do something else, we can add on to this.

All participants except one believed that staff training was an integral part of planning

and organizing an effective character education initiative. One school's NSOC

application stated that they have provided professional development opportunities on

character education to all of the staff. They also stated

> We have invested thousands in professional development, training, labor, and
>
> materials to support our CE and service learning initiative and will continue to
>
> work with restorative practices in dealing with discipline as well as continue to
>
> promote service based practices when dealing with all of our students. All of our

staff attends in-house training at least twice each year to learn about character

education. Over 50 staff members and parents attended character education

training last year through our partnership with CHARACTERplus.

Jennifer had similar thoughts in regards to organizing and planning professional

development and stated, "So then every staff meeting there was something about

character, anything that I would put out for staff there was something about character."

Designer. All the participants described the importance of making character

education part of each aspect of the school. Many participants described this as

"branding" the school where all aspects of the school are driven by adopted virtues and

values of the school. They described that the culture must be branded with the character

education initiative and the foundation of the school must be based on the vision of the

initiative and that all aspects of the school are focused on the initiative. One participant,

Ray stated that "We have attempted to brand the school" and stressed the need to

inculcate strong ethical values in these students, who will be the "future business

leaders," by building "a school of caring, compassion, and character." When one high

school began their character education initiative they firmly believed that to ensure long-

term, profound change, they would need to integrate character education into all facets of

our organization. Another high school stated in its NSOC application that it has a branded

identity that proactively shares its message of character beliefs and values. Character

education permeates the school culture through our motto, mission statement, and vertical

team structures. Sue noted in the interview that she and her character education team

specifically worked on embedding character in everything that they do. She stated

Character's not an in your face thing at the school. It's in every conversation we

have whether it's with me, with a teacher, a secretary, the counselor. It's

embedded in everything. You feel it when you walk in the building. You see it

with the kids. You hear it. It's just that feeling you have whenever anyone comes.

It's truly embedded in everything we do, it's really helped to develop your climate

and culture, and make it a great place for everybody.

Bruce had the similar thoughts as he helped to lead the branding of the school:

We had the core values, but we've taken it to another level where they've become

part of almost every conversation, morning announcements where we're talking

about them and we did different announcements and teachers have them on the

board, they're in every classroom, they're posted. I've observed classes where

teachers are referencing them, and the staff bought in.

Cultural engineer and the literature review. According to the participants of this

study, the principal is integral in developing a healthy culture through a character

education initiative. The influence a principal has on a school culture has been recognized

by numerous scholars (Berkowitz, 2011; Council of Chief State School Officers, 2008;

Deal & Peterson, 1999; Hoy & Miskel, 2008; Lickona, Schaps, & Lewis, 1995; Lickona,

1993; Schein, 1992). As stated previously, Schein (1992) described the four areas that a

leader acts as a cultural engineer—creating, building, maintaining, and changing. Those

participants who reported that a vision helped shape the culture of the school align with

DeRoche (2000) who believed that a clear vision was necessary to give clear direction to

the school and the school stakeholders. Further, the *Educational Leadership Standards:*

ISLLC (2008) indicate that an effective principal must set a widely shared vision in order

to establish an effective learning environment (Council of Chief State School Officers,

2008). As stated earlier by Horng, Klasik, and Loeb (2010) a principal plays many roles

in their position and clarifier and planner are two very important roles in their day-to-day

duties and in their administration duties.

        Plate Peddler. A plate peddler sells character education as the plate from which

education is served. Plate peddlers believe that character education is not an additional

dish in the offerings at a school, but the plate itself. Table 6 presents the category of plate

peddler and the dimensional range associated with the category.

Table 6

Properties and Dimensional Range of the Plate Peddler

Category	Properties	Dimensional Range	
Plate Peddler	Believe it	weak belief in initiative	➡ strong belief in initiative
	Involved	little involvement	➡ highly involved
	Salesman	unable to get stakeholder buy-in	➡ able to get stakeholder buy-in

The following descriptive narratives support and clarify the category of the plate peddler.

        Believe it. Many of the participants discussed the importance of believing in

character education in order to peddle it to others to get their buy-in. All of the

participants discussed that character education is not a separate program of the school,

but the plate of offerings of a school and must be done to educate the whole child. Ann

was a strong proponent in believing in educating the whole child:

I believe that we must educate the whole person, we are not just feeding them

information we have to also develop them as people, and I guess that Walt

Whitman quote I have on my website "make good people and the rest follows"

kind of sums it up, and that good citizenship comes hand in hand with strong

academics. I think you can marry the two, you have to believe that every student,

every child, every person has something to offer the world and it's our job as

educators to see that we make each individual realize that, whether it's something

that they know can help others. By helping others they help themselves.

Ann was very adamant in believing in educating the whole child through character

education:

If you believe in it, you yourself believe in it, you can do it. You have to know

you believe in it. I don't care if they say "no let's not do that, I want to do it this

way…" I guess in Missouri they use "show me" – show them how to do it. That's

what I believe and I have an administrative team, fortunately one that I picked

most of them, and they believe in it!

Another principal, Joe described his belief in a character education initiative and that

educating the whole child makes up the entire plate—the education offered by a school:

It's got to be the plate, and I think that's our huge part of the success of any

program that that people understand that it's really the glue; it's really the blood

that keeps everything together.

Later in the interview Joe talked about the plate again:

Well, there's always the teachers that feel like "you know, I got a lot on my plate

already." And I really tried to impact them with the idea that the whole idea of

teaching character isn't something that you put on your plate, it is the plate. So we

really tried to help everybody understand that this unified effort here is going to

benefit everyone in the long run. And it isn't an "add-on," it's actually what we

do. This is the main focus of what we do.

Diane described it in the interview as:

I think that some people are not successful at it because they view it as something

in addition to, not necessarily the plate that can be helping to guide the school. In

order to be successful and sustained long-term – it has to be the plate and it has to

be the focus, not only for your staff team, for your students, for your community.

Other participants stated similar things that the philosophy of educating the whole child

includes character education. Sue summarized it well when she stated, "They have to

believe in it or it will never work."

Involved leader. All of the participants explained the need for the leader to be

highly involved in every aspect of the character education initiative. They believed that

an involved leader is peddling the product through their actions and participation. Ann

stated about her involvement the following:

I know every one of my teachers, I know all my staff, I'm very involved. I

observe classes. I walk in; I want to know what's going on. I'm not disconnected.

I ask them [teacher] to invite me to their programs, to their classes, to involve me,

and they do!

Many of the participants described how they are not afraid to get involved and do the

activities with the teachers and students. Sue stated that being involved is critical for

peddling character education as the plate:

I want to be involved, and again that's part of that modeling. If I said that, "we're

going to do this," but I never took part in it, then my teachers wouldn't believe

me. They would say, "Well, why should we try something new if you're not

going to be involved in it? "I'm an in-your-trenches kind of person. I need to be in

the building so I can be a part of things. I just want to make sure that they know

that I'm in this with them whether it's a student or a staff member.

All the principals interviewed expressed the importance of being highly involved in order

to peddle the character education initiative and get buy-in from teachers, students, and

parents. They expressed the importance of being involved in the activities and talking

with students and teachers.

Salesman. All of the participants described the importance of getting stakeholder

buy-in. In order to get stakeholder buy-in, according to the participants, a principal must

promote an educational philosophy that focuses on educating the whole child. Many of

the participants stated that the buy-in of this philosophy must be accepted by the school

stakeholders—teachers, students, parents, and community members. Some of the

principals indicated that it was not difficult to get stakeholder buy-in. Ann described her

experience in getting buy-in:

They welcome it. And once you know, when you start creating this, it has to come

from the top down, once it takes hold it will snowball and all your ideas will come

from bottom up. They'll come from students, they'll come from teachers, and I'm

amazed.

Most of the principals described that getting stakeholder buy-in was a little difficult at the

outset of the development of the character education initiative. Principals described that

the students, staff, and community members "catch the spirit" of character education.

One vice principal in their NSOC application, stated

> At first I was a little resistant to putting in the program, I felt that change was
> going to make a lot of extra work for me. Now that I see the results that it can do
> there is no question in my mind that I will continue to do it in the future.

Another school's NSOC application indicated, "The character education journey has

taken strong dedication and is the result of a steady increase in staff commitment. It

started with one staff member and has expanded each year and to become the fabric of

our school."

All of the principals indicated that once there was a firm foothold of support and

buy-in of the plate from stakeholders that the character education initiative grew quickly.

Bruce described the process of building buy-in at his school:

> I think that was an obstacle at the beginning and I think it's become a lot better
> because the support system is there, and we have teachers that are helping other
> teachers, just a ton of helpful people here that are really helping each other out. I
> would say that that's been our biggest success—that we've had the buy-in from
> the majority of the staff and then again from the kids, and the community has
> been great.

The plate peddler and the literature review. Participants reported that they felt

that they acted like they were selling the character education initiative to establish

support and buy-in by school stakeholders, which is supported by research done by

Lickona and Davidson (2005) and DeRoche (2000). Further, these leaders described the

some of the qualities of a transformational leader as they were seeking buy-in from

school stakeholders. Transformational leadership, as described in Chapter Two, is a central component to the plate peddler and securing buy-in from staff, students, and community members. Some of the transformational qualities that principals exercised as they peddled the plate were:

- Idealized influence. Participants described the need to display conviction about important issue of focusing on character education. In this study the participants described this as believing in character education and teaching staff, students, and community members of the benefits. These principals could be "counted on to do the right thing, demonstrating high standards of ethical and moral conduct" (Bass & Riggio, 2006, p. 6).

- Inspirational motivation. Participants reported the need to project a positive and optimistic future focused on ambitious goals. The principal "articulated a compelling vision of the future" (Bass & Riggio, 2006, p. 6).

Gorton, Alston, and Snowden (2007) described the need for principals to "promote the acquisition of skills necessary for successful academic achievement but also emphasizes using those skills to bring about social, educational, political, and economic change" (pp. 15-16). The promotion of these skills is in line with the selling of character education.

Collaborative Leader. Many of the participants expressed the need to be collaborative in leadership practices and empowering individuals. There were many examples of shared leadership practices to create support and develop an initiative that is comprehensive and infused into all the components of a school. All the participants expressed the need to empower stakeholders especially students. Table 7 presents the category of collaborative leader and the dimensional range associated with the category.

Table 7

Properties and Dimensional Range of the Collaborative Leader

Category	Properties	Dimensional Range	
Collaborative Leader	Shared leadership	little shared leadership in individuals and groups	strong shared leadership individuals and groups
	Empowerment	little empowerment of stakeholders	highly empowered stakeholders

The following descriptive narratives support and clarify the category of the collaborative leader.

Shared leadership. Most of the participants described the importance of shared leadership in order to build support for a character education initiative. Most of the interviewed principals described the importance of having a character education committee comprised of staff, students, and parents to give direction and support to the initiative. Jennifer stated about her character development committee:

I have a character development committee, and I no longer run it [the initiative]. They run it, and they look at what the school practices are and what needs to shift and they oversee—we have five really strong service projects that we have going and lesson planning around those—they oversee all of that.

All of the principals indicated the importance of teacher leaders. Bruce stated, "We have a lot of teacher-leaders taking the front of it and then working with other teachers who were interested in 'how can I do this?'" Sue described the importance of this shared leadership:

Having those people involved in the process now and that's part of their day-to-day, they spread the word. Having other teacher that are involved in a lot of the decision making that goes along with our character days is important as well.

The shared decision making is not just with teachers, but also with the students according to the majority of participants. Dave stated, "We're going to make the decisions along with the students and that's the way it is." He believes that giving students an opportunity for shared leadership and input is just a natural part of a character education initiative. Dave indicated, "Leadership is another value, and it seems to me that in character education, leadership becomes real important because you need to put kids in leadership responsibilities…situations so that they can exercise their values and develop their own characters." Sue described also the importance of sharing leadership with students and giving them a voice:

We put them in leadership roles that way. We have a leadership class. We have different committees and different things when we bring in community into our building and so you'll have kids that will chair those committees. You know, giving students a voice is really big. They will be more honest with you than anybody else and they have really good ideas, if you just ask. They're the ones in the trenches living it every day and they'll tell you if something's not working and they'll probably be able to give you some ideas on how to improve it.

Empowerment. All of the participants described the need to empower teachers and students to build unity and teamwork. The principals indicated that empowering staff was important to allow them to have a voice and strengthen their buy-in to the initiative. Sue described her experience with empowering staff:

Everybody on the staff was involved in that [the character education initiative]. We're also training all of our teachers in basic training of character education. We go to St. Louis, they do four free trainings with our teachers. So they're all on board with that, but every staff member is involved in the process. They are always very aware, and you know, like with our service days, they to get decide on things…we have the teachers that will come and say, "I've got a really got idea on something we should do," and we try to implement those things as well. So they have a voice in it.

The participants all indicated that empowering staff and giving them a voice in the development, implementation, and sustaining of a character education initiative is imperative for its success.

All the interviewed principals indicated that one of the most important components of implementing and sustaining a high school character education initiative is empowering students. Ann described how her students became involved and empowered in helping others following Hurricane Katrina:

The kids then, researched and made phone calls and then researched and they called down to New Orleans, and learned that Biloxi had really got hit hard, but nobody's paying attention to them. So we called the high school there and adopted Biloxi High School for two years. And the kids, what they did, they didn't just collect money, they went and they held battle of the bands, they hosted volleyball games, they did all kinds of fund raising events that involved the community as well as everyone in the school district. So then they kept mailing money to them and we'd get letters back from the principal, and I would read

these over the PA, and this became an initiative that was ingrained in everything

we did. I mean, we went on the local television stations, our teachers became pen

pals with other teachers there. It became something…we exchanged teaching

ideas. This went on for two years. The second year we made a DVD and the DVD

was done in Biloxi and in our high school. And the DVD was blended together

and it showed individual students from, especially from Biloxi, how we impacted

their lives. This became so powerful because everyone was involved. It was very

powerful, so my belief is the only way you get a buy-in is when you know you

truly make a difference.

According the interviewed principals empowering students is getting all the students

involved and feeling like they are part of the character education initiative in one way or

another. Diane described students getting involved and feeling empowered:

The students played a critical role and still do to this day because they are the

ones that are excited about character. They take pride in the way they carry

themselves. For instance, when we go to an event, they are always dressed the

same—same t-shirts, so that they have pride that we are unified and united, and

the students often come up with character lessons themselves, and they also,

throughout the year come up with teambuilding activities to do throughout the

campus. Get students excited about what they're doing, and I think that it's our

role to continue to encourage our students to spread the word as well.

Jennifer also stated something similar that they are doing in their school, "Students are

actively involved. Every single student is involved." Sue described it well in empowering

students, "The biggest thing is making sure you empower and give your students and

staff a voice in it." Mike summarizes the strength and necessity of empowering a student in a character education initiative, "When you empower teenagers, the results are limitless." The students "caught the spirit" of the character education initiative because they felt empowered and part of it.

Collaborative leader and the literature review. Several leadership scholars recognized the need for collaboration and shared leadership (Lickona, Schaps, & Lewis, 1995; Rost, 1991; Council of Chief State School Officers, 2008; Yukl, 2005; Sergiovanni, 1992; Kouzes & Posner, 1995; Leithwood, 1992). According to Hoy and Miskel (2008) shared leadership is a component of transformational leadership and focuses on "a collaborative, shared decision making approach" (p. 15). The importance of shared decision making has also been recognized as an important facet of leadership by Vroom and Jago (1988), Hoy and Miskel (2008), and Hoy and Tarter (2004). More than ever before, administrators are trying to empower teachers and students (Hoy & Miskel, 2008). Empowerment of students and staff members has been recognized as essential for the success of leaders and their goals (Schernmerhorn, Hunt, & Osborn, 1994; Hardy & Leiba-O'Sullivan, 1998; Leuch, Wall, & Jackson, 2003; Dee, Hankin, & Duemer, 2003).

Reflective Leader. Almost all of the principals interviewed expressed the need to be reflective in practices to continually improve. Table 8 presents the category of reflective leader and the dimensional range associated with the category.

Table 8

Properties and Dimensional Range of the Reflective Leader

Category	Properties	Dimensional Range		
Reflective Leader	Evaluator	not evaluating practices	➡	continually evaluating practices for improvement
	Stakeholder counselor	little encouragement of stakeholder reflection	➡	strong encouragement for all stakeholders to reflect

The following descriptive narratives support and clarify the category of the reflective

leader.

Evaluator. The participants described the need to constantly be evaluating the

character education initiative through data gathering, researching best practices, talking to

other model schools, and constantly reviewing and re-evaluating the vision, mission, and

belief statements and how they relate the decision making process. All of the principals

indicated that data gathering and evaluation of the data was important to the

implementation and sustaining of a character education initiative. Jennifer described the

process they use at her school to gather and use data to make individual and school

improvement:

> We do data teams, which are looking at specific student performance data, but we
>
> also look at student moral data. So each data team, they are in departments, based
>
> on student disabilities and functioning level. They look at specific data and they
>
> formulate not only a performance goal, but a moral goal to address. They meet

> twice a month, to look at those specific student outcomes, along with the more
> formative state data, but you only get that once a year. We look at data, we look at
> the little tiny milestones, and we look at those big milestones.

Ann also stated that data are constantly reviewed to drive whole school improvement:

> We annually assess our character education initiative in required progress reports
> from which we get feedback for improvements that we pursue. If we turn to our
> original goals before starting our journey—academic achievement, improved
> discipline and civic engagement—we see how our character education initiative
> has enhanced learning.

> Many of the participants described that along with regularly gathering and

evaluating data the evaluator must be constantly researching best practices and visiting

model schools. Diane explained her ideas on research and working with other model

schools:

> I love to read and research, so I always want to share and new and innovative
> stories, quotes. I myself learned a lot from attending the National School of
> Character forums in Washington D.C. and I learned a lot from other National
> Schools of Character, and things that…the foundations that you need for a
> successful school. I am a life-long learner, always going to school and learning
> from other professionals in the field of administration.

Bruce echoed similar sentiments with his advice to principals seeking to implement a

character education initiative:

I think if they just look around, if they go with CEP, and then look at some of the

schools. I think the best way to do it to call some of these other places or visit

some of these other schools, see what they're about, see what they're doing.

Stakeholder counselor. Most of the interviewed principals indicated that they

require staff and student reflection to improve themselves and the character education

initiative. The principal and staff must undergo reflective practices according to Jennifer,

"we're never done, and we're always looking to the future and what opportunities we

have for improvement." Lucy stated, "Engage students and staff in setting peer

expectations for themselves along with reflective practices to follow the character

education mission." Sue believes that reflection is important to the overall sustainability

of a character education initiative and stated:

There's always ways to do better and you could do something just a little

different. I survey my teachers every year to find out what different things have

come up that we need to address, and we work on that and they see that we work

on that.

The principals indicate that reflection is an important part of improving oneself and as a

group as a character education initiative is implemented and sustained.

The majority of those interviewed spoke about the importance of ensuring

students were reflective of their behaviors, actions, and goals. Sue stated that teachers

help facilitate this reflective process

They [teachers] do different lessons and classes where they talk about different

character aspects and how they can be a better person, how they've improved

themselves, they have a lot of reflection with things so they get to know who they

are on the inside.

Most of the participants commented on reflective assignments for students that have

discipline issues. Jennifer described how she uses reflective writing in her school

We've actually infused more reflective writing pieces to the discipline aspect of

things. The reflective writing pieces were found to be really successful. You have

some kids that might do something inappropriate, instead of having them get their

demerits and go back to class we actually have them write about what they did,

how it reflected one of our core values – responsibility, trustworthiness, whatever

it might be—and how it impacted other people.

Ann described a similar process:

Many times now, students, after they do something silly, which we know they do

often, we have them write a reflective piece. And it's amazing, when you read

them, how they evaluate their actions, how sorry they are for them. When they go

to see the assistant principal they are given that reflective piece. After they do

something they are given the reflective piece. You give someone a detention or a

suspension and it's a moment in time when you teach them you are affecting

people then they have a whole different outlook on what they've done.

The principals indicated that reflection is a powerful process for all that are involved to

improve and focus on the core values of the school.

   Reflective leader and the literature review. Several leadership scholars have

recognized the need for leaders to be constantly reflecting, monitoring, and evaluating

their leadership practices, school programs, and school practices (Hattie, 1992; Elmore,

2000; De Pree, 1989; Kaagan & Markle, 1993; Marzano, Waters & McNulty, 2005;

Taggart & Wilson, 2005). Participants reported that they constantly reflected on data and

best practices to drive school improvement. Further, participants reported on encouraging

staff and students to be reflective of their practices and behavior on a routinely basis.

Marzano, Waters, and McNulty (2005) stated that effective leadership involves

monitoring and evaluating and "refers to the extent to which the leader monitors the

effectiveness of school practices in terms of their impact on student achievement" (p. 55).

The ISLLC (2008) also stated the need for principals to be reflective of their practices by

using and analyzing data and seeking out the best practices used.

     Moral Leader. All of the principals interviewed, all of the NSOC applications,

and many of the news articles evaluated focused on the need for the principal and staff

members to be examples and model appropriate behavior. Table 9 presents the category

of moral leader and the dimensional range associated with the category.

Table 9

Properties and Dimensional Range of the Moral Leader

Category	Properties	Dimensional Range	
Moral Leader	Model virtues and morals	not modeling adopted virtues	models appropriate morals and values at all times
	Encourage others to live by appropriate values	little encouragement to others to live by appropriate values	strong encouragement to others to live by appropriate values

The following descriptive narratives support and clarify the category of the moral leader.

Model virtues and morals. All of the interviewed principals indicated that modeling the behavior they are expecting from the students and staff is a prerequisite to a successful character education initiative. Dave stated, in regards to the virtues adopted by the school, "If I was not living them, if I was not talking about them, if I was not celebrating them, if I was not reinforcing them, why should I ask you to?" Jennifer also stated in regards to modeling, "It's really just about a modeling of behaviors that you would expect others to do." In one NSOC application the principal was compared to an athletic coach:

> Just as a great coach will train with his team and demonstrate the sportsmanship he demands from his athletes, a great educator must model the behavior he/she wishes to encourage in her students. Before any preplanned character education lesson can take place, educators must first show students that they possess true character themselves. Through authentic demonstration of ethical behavior, we teach students the most valuable lesson: character can and should be demonstrated by all people without regard to status or rank within a community. By holding ourselves to the same standards as our students, we teach them to "do as we do" not to "do as we say."

One NSOC application quoted a staff member describing the principal, "That's what makes him so endearing as a person. He is absolutely respectful, responsible, and honest." Similar comments were said about many of the participants from others describing their values as a person and leader.

Encourage others to live by appropriate values. Part of being a moral leader is encouraging others to live by high values and morals according to all that were interviewed and it was stated regularly in NSOC applications by various individuals. Repeatedly it was expressed that administration and staff must be regularly encouraging each other and students to live by the adopted virtues. In one news clip about a NSOC it was stated that principals and teachers must "model the core values to the students and as a team, respect and support one another to give a foundation to the further success of the program in the school." In a NSOC application one paraprofessional stated about modeling good character:

> Every aspect of good character is carried out daily in the school community by
> very supportive staff through curriculum, peer inter actions, and motivation
> through modeling. The staff teaches by example, holding one another to the
> highest standard of good character, creating an environment conducive for
> learning and maturing into good citizens. Leading by example, the staff models
> trustworthiness by consistently reinforcing loyalty and honesty with one another
> in and out of the classroom to instill the importance of keeping your word and
> living up to promises made as well as keeping confidences between staff and
> students.

Moral leader and the literature review. The data from the NSOC applications and interviews conducted for this research contain a plethora of references to principals and teachers modeling the behavior that is desired from the students. These findings are supported by numerous authors who believe that the leader must have high morals, be good examples, have an honorable character, and model the behavior that is desired

(Bass, 1985; Berkowitz, 2011; Burns, 1978; Garfield, 1986; House, 1977; Sankar, 2003; Sergiovanni, 1999, 2007).

Champion of Character Education. All of the principals interviewed discussed their role as champion of the character education initiative. This role was comprised of acting as a support to staff and a fighter for the initiative. Table 10 presents the category of champion and the dimensional range associated with the category.

Table 10

Properties and Dimensional Range of the Champion of Character Education

Category	Properties	Dimensional Range		
Champion	Support	little support	➡	highly supportive
	Advocate	not willing to stand up and support	➡	willing to stand, support, and fight for character education

The following descriptive narratives support and clarify the category of the champion of character education.

Support. All of the principals interviewed explained that one of championing roles in developing, implementing, and sustaining an effective character education initiative is the support role. They indicated they supported the initiative as a cheerleader, guide, communicator, and with financial means. One principal who is a strong character education support and champion stated that he "fosters his enthusiasm in all staff and students." Diane stated, "I guess my role is maybe to continue to help push, encourage

and be the cheerleader." The encouragement and support comes in many different ways as described in the following quotes taken from NSOC applications:

- The principal endorses the program, providing release time and grant money for team leaders, providing in-service training, and communicating the importance of the program.

- The principal is a strong supporter of CE and a champion of our core values. Because of his leadership, CE has flourished.

- Our principal models and champions character education. As the building leader, she empowers staff to create a positive moral culture and develop a caring school community that promotes our core values.

- It begins with the enthusiasm and support of the principal then filters throughout the family that the High School has become.

- Character education became our district-wide focus: she energized the district staff, supported effective professional development, and involved the parents and community. Within a year, the Character Counts values became our living qualities.

- Administration truly supports the program by providing necessary funding, leadership, and moral support.

Throughout the interviews the principals echoed these same thoughts. One principal, Jim stated, "My role is to point the school in the right direction." Jim and many others stated that principals show support by giving guidance. Bruce stated about his support for his staff:

I think they know that's I'm always here for them, my door is always open. I

would think if you asked them they would say that I'm fair, that I'm supportive

and that I'm here to listen to them and help them with anything that they need. I

try to pride myself on that a little bit as much as I can help somebody I try to.

Bruce also stated about his support:

 I think supporting the teachers in some of the ideas that they've come up with,

either by saying "yes" or financially if they needed something on a budgetary

piece, that we needed to budget for, letting them go on certain fieldtrips that we

find to be worthwhile—related to character ed or service learning—and I think

that helps that we're not telling them "this is where we want to go," and then

saying "well, you can't do that" or "you can't do this." So I think the support

piece…knowing that we're going to be there to help them through this process is

a big deal.

According to the participants, principals act as champions by cheerleading and

adding encouragement and focusing on the successes. Celebrating the successes was a

resounding theme in championing a character education initiative. On a day to day basis

the principals indicated that they give praise and encouragement to students. According

to one NSOC application it stated that when Jim "speaks to students, he emphasizes that

he is proud of them. He is sincere in this belief, and students are encouraged to live up to

the praise." Further, Jennifer celebrates students' achievements in front of their peers:

We do—you know how schools do student recognitions?—we do character

assemblies, so they are based on character. We are looking at students that are

demonstrating good character. I want students to do presentations on what it

means to them. They do presentations on the progress of service learning projects

and the impact that being involved has had on them.

Students are not the only ones that are recognized and celebrated for their achievements

in the character education initiative. Dave described how he celebrated and championed

the efforts of teachers:

Every staff meeting we give a teacher…or celebrate a teacher who has done

something that advances the program. Napoleon said, "Men will die for ribbons,"

and teachers love recognition when they have done something or they have taken

risks and succeeded and it's better for everyone what it is that they've done.

Recognizing the teachers, getting them to talk about some things and this

becomes part of the *lingua franca* of the school. Now we're doing something

useful.

Advocate. Many of the participants indicated their role as an advocate to lead the

initiative when there were obstacles or problems. During this time the principals

indicated that it took grit, hard work, and ingenuity to overcome the obstacles. Dave

stated that it took a lot of grit to make the initiative work:

The question is: "is there the will power, is there the vision, is there the creativity,

the imagination, and the grit to make it happen?" I'm a tough cookie in that sense.

I had to see myself and I think any head of school or principal should, that I was

the number one proponent of the values.

One CEP NSOC interview of a high school staff member described:

The path to become a great school of character is a difficult journey. It takes a lot

of work to create a NSOC for principals, teachers, and all staff members. Some

will fight a character education initiative and leaders must press forward and work

hard to ensure that the CE program is successful to overcome these negative

thoughts and attitudes.

Another staff member, that was highly involved in implementing a high school's

character education initiative stated, "A miracle? Hardly. However, we learned that a

district vision, buttressed with hard work and collective zeal, could bring about amazing

results!" Jim talked about the hard work and action in implementing a character

education initiative:

> We encourage other schools to be action-oriented. Sometimes high schools spend
>
> so much time planning and "admiring the problem" that they fail to take even
>
> initial action. School cultures are not built by a single program, but rather they are
>
> constructed and reinforced over time by a thousand smaller actions by staff and
>
> students.

Sue talked about how the fight can be won by winning the smaller battles of helping

others understand the impact of character education:

> Probably the biggest obstacle we have had is not everyone understands the impact
>
> of character education and how it can affect academics and attendance and
>
> behavior. How all those things can be improved and so I think getting that across
>
> to other administrator, other board office people—I think that's been our biggest
>
> challenge and so we never give up the fight on that.

> ***Champion and the literature review***. Participants reported that they must

champion a school initiative in order for it to succeed, which is supported by Cottrell

(2002), Blase and Kirby (2000), Kelehear (2003), Kaagan and Markle (1993), and Cotton

(2003). The data from the interviews, conducted as part of this research, contain a large amount of references to the leader as champion who supports and fights for what they believe in.

Axial coding

In the previous process of open coding the data were fractured and categories were identified and their properties and dimensions were examined (Strauss & Corbin, 1990). In the next step of axial coding, according to Corbin and Strauss (2008), the data were crosscut and concepts were related to each other" (p. 195). The data were pieced together in new ways after open coding to allow connections between categories. Further, it is the act of "relating categories to subcategories along the lines of their properties and dimensions" (Strauss & Corbin, 1998, p. 124). By continually asking questions and making comparisons axial coding takes place with the process of relating subcategories to a category (Corbin & Strauss, 2008). Using the paradigm model outlined by Strauss and Corbin (1990) the data were re-contextualized to link the "subcategories to the [core] category in a set of relationships" (p. 99). The relationships that emerged were developed around the axial coding process as outlined by Strauss and Corbin (1990):

- Causal condition. Events, incidents, happenings that lead to the occurrence or development of a phenomenon. (p. 96)

- Phenomenon. The central idea, event, happening, incident about which a set of actions or interactions are directed at managing, handling, or to which the set of actions is related. (p. 96)

- Context. The specific set of properties that pertain to a phenomenon; that is, the locations of events or incidents pertaining to a phenomenon along a

dimensional range. Context represents the particular set of conditions within which the action/interactional strategies are taken. (p. 96)

- Intervening condition. The structural conditions bearing on action/interactional strategies that pertain to a phenomenon. They facilitate or constrain the strategies taken within a specific context. (p. 96)

- Action/interaction. Strategies that are used to manage, handle, carry out, and responding to a phenomenon as it exists in context or under a specific set of perceived conditions. (p. 104)

- Consequence. Outcomes or results of failure to take action/interaction. Consequences may be events or happening, responsive actions/interactions, actual or potential, or happen in the present or the future. (p. 106)

Table 11 represents the components of the axial coding process the flow between each factor.

Table 11

Axial Coding Process

Causal Condition

↓

Phenomenon

↓

Context

↓

Intervening Condition

↓

Action / Interaction

↓

Consequence
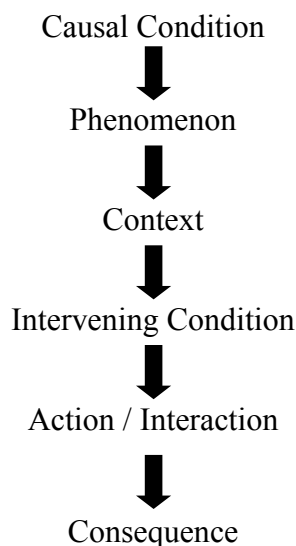
According to Strauss and Corbin (1990), throughout this process there are four distinct analytic steps that are occurring simultaneously, they are:

1. The hypothetical relating of subcategories to a category by means of statements denoting the nature of the relationships between them and the phenomenon—causal conditions, context, intervening conditions, action/interactional strategies, consequences.

2. The verification of those hypotheses against actual data.

3. The continued search for the properties of categories and subcategories, and the dimensional locations of data (events, happenings, etc.) indicative of them.

4. The beginning exploration of variation in phenomena by comparing each category and its subcategories for different patterns discovered by comparing dimensional locations of instances of data. (p. 107)

These four steps were used throughout the process as they are occurring simultaneously to better understand the data.

The first procedure of axial coding the identifying of causal condition and phenomena associated with the causal condition. Table 12 outlines the causal condition and the phenomena identified during axial coding of the data.

Table 12

Causal Condition and Phenomena

Causal Condition	Phenomena
Principal Leading Character Education Initiative	Cultural engineer
	Plate peddler of character education
	Collaborative leader
	Reflective leader
	Moral leader
	Champion of character education initiative

Each phenomenon is presented in a table which includes the details and outline of the context. Following each of these tables the features and the context are described as they relate to the associated phenomena. The features that are included are: (a) Intervening condition, (b) Action/interaction, (c) Consequence.

Phenomenon of the cultural engineer. The phenomenon of the cultural engineer has emerged from the synthesis of three contexts. Table 13 outlines the phenomena of cultural engineer and the four contexts that from which the phenomena emerged.

Table 13

The Phenomenon of the Cultural Engineer in Context

Phenomenon	Context
Cultural Engineer	Actions guided by vision, mission, and beliefs of school
	Principal involvement as guide
	Deliberate in process
	Language of character

Listed below are the four contexts for the phenomenon of the cultural engineer and the features of each context. The phenomenon and its features have evolved from the axial coding process.

Cultural Engineer Context #1:   Actions guided by vision, mission, and beliefs of school.

Intervening Condition

- Clear vision, mission, and beliefs drove the changes in the schools' cultures.

Action/Interaction

- Decisions that are made by principal were based on the mission and beliefs of the school.

- The principal encouraged others to make decisions based on the mission and beliefs of the school.

- The vision of school, the future goals were communicated to all school stakeholders.

- The development, implementation, and sustaining of the character education initiative was centered on the vision, mission, and belief statements of the school.

Consequence

- The principals recognized that the vision, mission, and belief statements should be the tool that drives the development of a healthy culture based on developing the character of students.

Cultural Engineer Context #2:   Principal involvement as guide.

Intervening Condition

- The principal is involved in all aspects of the school character education initiative.

Action/Interaction

- Principal involvement ensured that the initiative is being implemented throughout the school.

- Principal input relating to the initiative was made in each aspect of the school to ensure fluid adoption.

- The principal modeled the adopted character education virtues.

- School stakeholders regularly saw and heard principal support for the initiative.

Consequence

- School stakeholders recognized the importance of the initiative through the emphasis, and support that the principal exercised.

Cultural Engineer Context #2:   Principal being deliberate in process.

Intervening Condition

- A focused timeline with a step by step approach was necessary to infuse character education into each facet of the school.

Action/Interaction

- A character education committee was developed to give guidance, increase staff buy-in, and create the timeline for implementation.

- Principals developed training for staff that is regularly centered on the character education initiative.

- Principals expected staff and students to be committed to the initiative and the virtues adopted.

Consequence

- The school stakeholders bought-in to the character education initiative as it was implemented slowly and made it part of the culture and environment of the school.

Cultural Engineer Context #3:   Language of character.

Intervening Condition

- A common language focused on the adopted virtues is used to review and evaluate actions and activities by staff and students.

Action/Interaction

- Administration teams were trained to use the adopted virtues in discussing any student or staff misconduct.

- Students were taught the adopted virtues and how they relate to appropriate behavior.

- Student leaders were encouraged to speak on these virtues in student gatherings.

- Adopted virtues were visual throughout the schools.

Consequence

- The schools recognized that the adopted virtues became part of the interactions and were internalized by staff and students.

Phenomenon of the plate peddler. The phenomenon of the plate peddler has

emerged from the synthesis of four contexts. Table 14 outlines the phenomena of the

plate peddler and the four contexts that from which the phenomena emerged.

Table 14

The Phenomenon of the Plate Peddler in Context

Phenomenon	Context
Plate Peddler	Impetus for initiative
	Principal involvement
	Salesmanship of educational philosophy
	Staff professional development

Listed below are the four contexts for the phenomenon of the plate peddler and the

features of each context. The phenomenon and its features have evolved from the axial

coding process.

Plate Peddler Context #1:   Impetus for initiative.

Intervening Condition

- The principal needed to present a case for the need of a

  character education initiative and how it will benefit the school.

Action/Interaction

- Data were gathered to show behavior and academic trends.

  High behavior and low academic trends were the main reasons

to consider a character education initiative. Behavior and academic trends, local and national, were evaluated.

- Research was done on effective practices of other schools and how character education benefited them.

- Teams of staff visited other schools with effective character education initiatives.

Consequence

- School stakeholders recognized the need of a character education initiative and how it was going to benefit the school.

Plate Peddler Context #2:   Principal involvement.

Intervening Condition

- The principal needed to be involved in promoting the character education initiative through actions, communications, and being part of academic and extracurricular activities.

Action/Interaction

- The principals modeled the virtues that were adopted.

- The principals were involved in attending conferences to learn more about character education.

- When the principals addressed staff or students the presentations revolved around the adopted virtues of the character education initiative.

- School stakeholders regularly saw and heard principal support for the initiative.

Consequence

- School stakeholders recognized that the principals made character education a priority and that the focus and school stakeholders bought-in to the initiative.

Plate Peddler Context #3:   Salesmanship of educational philosophy.

Intervening Condition

- The participating principals believed that character education is not a separate part of the offerings at a school, but is educating the whole child.

Action/Interaction

- Principals promoted and taught their educational philosophy of educating the whole child at each opportunity—staff meetings, one-on-one interactions, community presentations, etc.

- Principals lived their educational philosophy by encouraging the incorporation of character education into all facets of a school—behavior modification, curriculum, instruction, extracurricular activities, etc.

Consequence

- School stakeholders' bought-in to educating the whole child based on a character education initiative.

Plate Peddler Context #4:   **Professional development.**

Intervening Condition

- Principals needed to provide regular, effective professional development based on the needs of the school culture and staff.

Action/Interaction

- Select staff were sent to local and national conferences to learn more about character education and best practices associated with it.

- Experienced staff presented to their peers on what they had learned and some of the best practices.

- Experts on character education were brought to the school to help in the teaching and incorporation of character education.

Consequence

- Staff members had a higher understanding of character education and were able to incorporate it more effectively.

Phenomenon of the collaborative leader. The phenomenon of the collaborative leader has emerged from the synthesis of two contexts. Table 15 outlines the phenomena of collaborative leader and the two contexts that from which the phenomena emerged.

Table 15

The Phenomenon of the Collaborative Leader in Context

Phenomenon	Context
Collaborative leader	Empower students
	Empower staff

Listed below are the two contexts for the phenomenon of the collaborative leader and the features of each context. The phenomenon and its features have evolved from the axial coding process.

The Collaborative Leader Context #1:   Empower students.

Intervening Condition

- Principal participants needed to empower students to get their support and to get them to encourage other students to be involved.

Action/Interaction

- Students were part of the Character Education Committee that set goals, oversaw, and gave input.

- Students felt that they could give input to teachers and administration on activities and methods of the initiative.

- Students were highly involved in service learning activities that applied the virtues adopted by the school.

Consequence

- The majority of the students felt like they had a voice in the school and could add to the development of the character education initiative.

- The majority of the students wanted to participate in the character education initiative and could recognize the need and power of it.

The Collaborative Leader Context #2:   Empower staff.

Intervening Condition

- Principal participants needed to empower staff to get their support and to get them to encourage other staff to be involved.

Action/Interaction

- Select staff were sent to state and national trainings on character education.

- Select staff were part of the Character Education Committee of the school.

- Staff presented to other teachers of what they had learned or what they found to be the best practices in incorporating character education into their classroom.

- Staff members were given opportunities to give input on improvement initiatives, service learning activities, etc.

- Staff members were encouraged to share their best practices and character education lesson plans.

Consequence

- Staff members felt like they had a voice in the school and could add to the development of the character education initiative.

Phenomenon of the reflective leader. The phenomenon of the reflective leader has emerged from the synthesis of four contexts. Table 16 outlines the phenomena of the reflective leader and the four contexts that from which the phenomena emerged.

Table 16

The Phenomenon of the Reflective Leader in Context

Phenomenon	Context
Reflective Leader	Continual use of data
	Continual research of best practices
	Constantly reviewing and re-evaluating vision, mission, and belief statements to guide changes
	Continual encouragement of reflection of staff and students

Listed below are the two contexts for the phenomenon of the reflective leader and the features of each context. The phenomenon and its features have evolved from the axial coding process.

The Reflective Leader Context #1: Continual use of data.

Intervening Condition

- Principal participants regularly used data to drive changes and improvements in the character education initiative.

Action/Interaction

- Data were gathered through surveys, discipline data, etc. and evaluated by administration, the Character Education Committee, and staff members.

Consequence

- Action plans and goals were developed based on the data to make changes to improve the initiative.

- There was regular steady improvement in the character education initiative, which was also reflective often in the overall academic program.

The Reflective Leader Context #2: Continual research of best practices.

Intervening Condition

- Principal participants regularly researched best practices of schools and scholars.

Action/Interaction

- Principals were part of larger organizations that promoted the best practices of character education.

- Principals and staff members regularly attended local and national conferences to network with colleagues and listen to presentations on best practices from experts and practitioners.

- Principals and staff members visited other schools of character to get ideas and network.

Consequence

- Best practices were used in the implementation of the character education initiative.

The Reflective Leader Context #3: Constantly reviewing and re-evaluating vision, mission, and belief statements to guide changes.

Intervening Condition

- Clear mission, vision, and belief statements guided character education initiative.

Action/Interaction

- When making decisions the vision, mission, and belief statements were reviewed to ensure that the initiative was going along the intended path.

- Principals would lead the review and updating of the driving guide of the character education initiative—vision, mission, and belief statements.

- Stakeholders were involved in the review of the vision, mission, and belief statements.

Consequence

- The character education initiative continued on the designated path.

- School stakeholders bought-in to the character education initiative.

The Reflective Leader Context #4: Continual encouragement of reflection of staff and students.

Intervening Condition

- Staff and students were to undergo reflective processes to improve themselves and the school initiative.

Action/Interaction

- Principals reported that staff and students participated in a reflective writing process at the end of each year to evaluate personal progress.

- Students and staff set goals at the beginning of the year and reviewed them throughout the year and had some final reflection and evaluation time at the end of the year.

- Students engaged in reflective thought processes and writing assignments related to character education following misconduct.

Consequence

- Staff and students were able to reflect on their behavior and work to improve.

Phenomenon of the moral leader. The phenomenon of the moral leader has emerged from the synthesis of three contexts. Table 17 outlines the phenomena of the moral leader and the three contexts that from which the phenomena emerged.

Table 17

The Phenomenon of the Moral Leader in Context

Phenomenon	Context
Moral Leader	Exercise and model adopted virtues in and out of school
	Continually improving and learning

Listed below are the two contexts for the phenomenon of the moral leader and the features of each context. The phenomenon and its features have evolved from the axial coding process.

The Moral Leader Context #1:   Exercise and model adopted virtues.

Intervening Condition

- Principal participants expressed the need to exercise and model the adopted school virtues and be an overall moral example to the community.

- Principals desired students and staff to exercise the adopted school virtues.

Action/Interaction

- Principals reported that they made a conscious effort to live by the school's virtues in and out of school.

- Principals reported interactions and experiences in and outside of school related to modeling the adopted school virtues.

- Participants reported the exercising of the adopted virtues through civic group membership, volunteering, community service, church attendance, etc.

Consequence

- Participants reported their success in terms of positive responses from students, community members, and staff.

- Participants reported their success in terms of others buying-in to the character education initiative because of their example.

The Moral Leader Context #2:   Continually learning and improving.

Intervening Condition

- Principal participants expressed a need to be continually learning and improving in order to be an effective example of a moral leader.

Action/Interaction

- Participants reported experiences of continually learning through additional schooling, attending conferences, visiting other schools, researching, etc.

- Participates related opportunities to voice their desire for staff and students to maintain the virtues of the school.

Consequence

- Participants reported their success in terms of positive responses from students, community members, and staff.

- Participants reported their success in terms of others buying-in to the character education initiative because of their example.

Phenomenon of the champion of character education. The phenomenon of the champion of character education has emerged from the synthesis of three contexts. Table 18 outlines the phenomena of the champion of character education and the three contexts that from which the phenomena emerged.

Table 18

The Phenomenon of the Champion of Character Education in Context

Phenomenon	Context
Champion	Celebrate successes
	Prioritize finances to promote character education
	Principals involvement in leading character education initiative

Listed below are the three contexts for the phenomenon of the champion of character education and the features of each context. The phenomenon and its features have evolved from the axial coding process.

The Champion Context #1:   Celebrate successes.

Intervening Condition

- The importance of recognizing successes of staff and students.

Action/Interaction

- Participants expressed the need to celebrate individual, group, and school successes.

- Participants expressed the need to encourage others to recognize and celebrate successes.

- Participants expressed the need to praise others.

Consequence

- Participants felt that focusing on the successes and praise helps keep the atmosphere positive and encouraging.

The Champion Context #2:   Prioritize finances to promote character education.

Intervening Condition

- Principals indicated the necessity of providing finances to facilitate the school's character education initiative.

Action/Interaction

- Principals reported that materials that were needed, for the character education initiative, finances were found to purchase them.

- Principals encouraged staff and students to come with ideas and if the ideas were effective, finances were found to fund these activities, such as fieldtrips, group activities, assemblies, etc.

Consequence

- Principals recognized the need to provide the finances that would ensure the success of a character education initiative.

- Principals reported increased buying-in with individuals by providing financial support for some of the suggested activities.

The Champion Context #3:   Principals involvement in leading character education initiative

Intervening Condition

- The principal needs to be involved in leading and overseeing the school character education initiative.

Action/Interaction

- Participants indicated that high principal involvement and interest is key to the success of an effective character education initiative.

- Principal input relating to the initiative was made in each aspect of the school to ensure fluid adoption.

- The principal modeled the adopted character education virtues.

- School stakeholders regularly saw and heard principal support for the initiative.

Consequence

- School stakeholders recognized the importance of the initiative through the emphasis, and support that the principal exercised.

The axial coding process has explored the relationship of each phenomenon to the data and evaluated the contexts, intervening conditions, actions and interactions, and

consequences. Axial coding has systematically developed and related the categories to their subcategories (Strauss & Corbin, 1998).

Selective coding

Axial coding has helped in developing the basis for the next step—selective coding. Selective coding is the "process of linking categories around a core category and refining and trimming the resulting theoretical construction" (Corbin & Strauss, 2008, p. 263). The linking of categories occurred during this selective coding process and the data that have been microanalyzed were macroanalyzed. The data that were discovered in the open and axial coding stages were integrated and refined. The selective coding process of a storyline was used to identify the central category and the integration of concepts (Strauss & Corbin, 1998). A story line is a way in which the researcher articulates "what the research is all about" and is composed of the findings from the axial coding process focusing on the phenomena (Strauss & Corbin, 1998, p. 148). Describing the story line in this way allows for the creation of the grounded theory. The concepts related to the contexts and subcategories of the study are shown in **bold** type (Strauss & Corbin, 1998).

Story line. Principals in this study recognized that there were specific things that they did as they were developing, implementing, and sustaining a character education initiative. Some of the roles and practices, exercised by the principals, overlapped into the different phases of the character education initiative. These three different areas on the timeline will be in explored more in-depth and will be the backbone of the story line.

Developing. In the development phase of the character education initiative the principals reported that there were specific things that they did to ensure that the initiative was on secure foundation. The development phase takes place during the first year or two

depending on the health of the school and the strength of the teachers. During this phase **principals are highly involved** in setting the stage and building a secure foundation for the character education initiative. The first step in the development phase, for principals, is to **conduct a comprehensive needs assessment** of the school including student referrals, student surveys, staff surveys, test results, etc. The focus is to **evaluate** the environment, climate, culture to determine if the school is ripe for character education growth. Also, it is done to **determine the need** for a character education initiative and to show school stakeholders the need for a character education initiative.

Following the needs assessment principals are integral in **creating and establishing a vision, mission, virtues, and belief statements**, which were the cornerstones to the successful development of a character education initiative. These statements are focused around character education and make up the vision for the future and the desired behaviors of the students. Principals must **find help and collaboration with a select core of strong staff members, students, and community members** that assist in developing these statements and vision. These core supporters are chosen based on their interest in school improvement and knowledge or willingness to learn more about character education. These individuals make up the **character education committee** who will be the front lines, supporters, and defenders of the character education initiative.

Further, in order for a character education initiative to be implemented and sustained effectively the **people leading it must be good models of the adopted virtues**. The core supporters that have helped shape and start up the initiative **must exemplify the behaviors they are seeking** from the students, staff, and community. The principal

especially must be **a good, strong moral model that is continually seeking to improve and is encouraging others to be better**. Staff, students, and community members look to the leadership and **expect high values and the modeling** of the behavior that is expected of the students and staff. Further, principals must truly believe that the character education initiative will be a benefit to the school and community. They take any opportunity that they can to **speak of the benefits of character education** and how it will impact the school.

Principals are central to **establishing an action plan and timeline** to help guide the implementation of the imitative. In creating the action plan and timeline the principal **involves the help of their character education committee**. It takes a lot of **time and hard work** to ensure that the action plan and timeline will work for the school. In creating the timeline and throughout the development process principals are **researching best practices** through reading, talking and visiting other model schools of character, and attending character education conferences. The **character education committee** is also involved in sharing the leadership by attending training, conducting research, and visiting schools.

There are a few obstacles that must be overcome during this initial phase of development. Principals must be **cognizant of the struggles** that take place during this phase. A principal must **reflect by evaluating themselves** to determine if they have the values and morals to be an effective example. A school must be **ripe for character education** and there may be things that must be done during the development process to ensure the school is ready. A school that struggles with creating a safe environment must first overcome these obstacles before taking on a character education initiative. Another

obstacle principals are faced with is **choosing the best staff members** to be on their

character education committee. Once the character education committee staff members

are selected **they must be sold on character education and then trained on best

practices**. Further, the entire **administrative staff must be in support** of the character

education initiative from the district level through the school level. Without the support at

the district level there will be no financial or professional development support.

Implementing. The implementation process is the core of the character education

initiative and **takes place during years two through five depending** on the readiness of

the school and the obstacles that must be overcome. During this phase a principal plays

many integral roles and has many responsibilities to ensure that the implementation is

fluid and affects the targeted areas of the school. There are several roles and leadership

practices that are found in the developmental process that run into the implementation

phase. There are also new roles and practices that a principal must start doing during this

phase. Each one of the roles and practices are found in the implementation phase.

Implementing the character education initiative **must be done slowly and methodically**

to ensure that it is accepted and understood by all school stakeholders.

Principals must **focus on developing a culture** that is fertile for character

development. In order to do this the **vision, beliefs, virtues, and mission must be

adhered to and reviewed when making decisions**. The principal is **the planner and

organizer** for the initiative's implementation. The organization of the implementation

must be **deliberate and include specific staff training and a character education

committee** to assist in the implementation to give feedback, input, support and overall

guidance. Further, the principal must **maintain high expectations from themselves,**

staff members, and students. The high expectations will ensure that the character

education initiative becomes the **core of the school** and is **found in the culture,**

language, mission, curriculum, discipline, community involvement, extracurricular

activities, relationships, assemblies, etc. Throughout the implementation process the

principal should be **updating the action plan** to ensure that necessary changes are being

made to keep the initiative on the right track.

In order to keep the initiative on the right track it is important for the principal to

believe in character education and be a strong proponent of it. The first thing that a

principal must do is **live the values that are expected** from the character education

initiative. Also, as a **model of high values and morals** they need to be living in such a

way that they **encourage others to be continually improving and growing**. By not

living the values adopted values others will not see the need to support the initiative.

A principal must **believe in the initiative** to get others to buy-in to character

education and make it part of their responsibilities and interactions in the school. To get

buy-in a principal must, in some cases, **help in changing the educational philosophies**

of staff members. Staff members must see that character education is the **education of**

the whole child to best prepare students for success after high school. The **education of**

the whole child includes teaching not just of academic subjects but in appropriate virtues

and values that are needed to find success. Principals will have more success in getting

buy-in by staff through **regular training to teachers, using data to show the effects of**

the initiative, and having staff visit model schools of character. The principal must

sell the initiative not only to staff members, but students, parents, and community

members. Using data and modeling the behavior must be done to build the support of all stakeholders.

Data must constantly be gathered and reviewed to ensure that the initiative is on the right track. Data that should be used to constantly evaluate the progress of the initiative include **behavior, academic, climate surveys, and community surveys**. **Changes to the implementation of the initiative** must be done based on the data and done regularly. **Reviewing best practices of schools and scholars** should be constantly done to ensure that the most effective methods are employed. **Networking and visiting model schools** of character and **attending conferences** are necessary to gather ideas that could be implemented into the school's character education initiative. Further, **the vision, mission, belief statements, and adopted virtues should be regularly reviewed** to ensure that they are reflective of the changing needs of the school.

Sharing leadership by being **collaborative** is another method to **build the support** of stakeholders for the initiative. A principal must continue the use of the **character education committee** that was formed in the developmental phase. The use of the best teachers, students, and strong community members ensure that the initiative has the support necessary for effective implementation. Also, throughout the implementation process the principal must **find ways to empower students and teachers**. The most effective ways to get students engaged and feel empowered is by **listening to their ideas** and to provide and encourage opportunities for **service learning activities**. Students that are involved in service learning **feel connected to the initiative** and see the real effects of practicing the school's adopted virtues. The **service learning activities** should be projects that students can relate to, understand, and see the effects. It is found to be most

effective when these **service projects are connected with the local community**. Staff members must also feel empowered by feeling that **they have a voice** in the initiative and **the flexibility to infuse their creativity** as they implement the school's virtues into the curriculum and activities.

Principals can show support to staff members by **providing financial assistance** to the ideas developed by staff members. **Financial assistance** is necessary for the successful implementation of an effective character education initiative. Without the necessary finances teachers' ideas and programs could fail and people could get frustrated. Principals must also **give encouragement and celebrate successes** of effective practices or activities of the teachers. **Celebrating success** is not just for the staff, but also for the students. Principals must find ways **to celebrate positive student behaviors** that reflect the adopted virtues. Principals should consider **developing a reward plan or program** that regularly recognizes the efforts of students.

Throughout the implementation phase there are many obstacles that must be overcome and they are unique to each school. **Regularly evaluating the obstacles** and **modifying the action plan** is necessary to meet the challenges that are presented during the implementation stage. **Getting buy-in from staff, students, school board, and community members** is a major obstacle that school administration should be aware of and **develop a specific plan to generate buy-in from all stakeholders. Getting staff buy-in is key to the success of the initiative** and after getting their buy-in students tend to buy-in to the initiative. Staff members that do not buy-in to the initiative over time are weeded out and replaced with those that are in support of the character education initiative. Student buy-in comes from **empowering them through service learning** and

giving them opportunities for **input through leadership committees and surveys**. Also, another obstacle is the time it takes to make changes in a school system. A character education initiative **takes time and should be done slowly and methodically**. It takes **hard work and ingenuity** of the principal to build support for the character education initiative and to overcome the obstacles that will be faced and the initiative is being implemented.

A responsibility that the principal starts to exercise is the **hiring of staff** members that are in **support of the character education initiative**. The hiring process includes questioning new applicants about character education. This ensures that the foundation of the initiative is continued to be built on a strong foundation and is continued even following the departure of the principal.

Sustaining. The sustaining process of a character education initiative continues many of the same practices and leadership roles found in the development and implementation phases. There are new responsibilities that a principal must take on and some new obstacles that must be faced to ensure the success of a character education initiative.

The principal must continue to **evaluate the character education initiative** with the **use of data** to ensure that the goals are being met and the initiative is as successful as planned and as needed. Further, **best practices must still be continually researched** and infused into the initiative. The **data and the research are used to make changes** to the initiative including the vision, mission, and belief statements to refine the initiative. The **character education committee** is the supporting entity that drives the initiative and is highly involved in the research, gathering of data, and the refining process. The refining

process includes striving to find new ways to strengthen what has been built and **infuse**

character education into each part of the school—curriculum, culture, discipline,

extracurricular activities, assemblies, etc. **Goals and action plans** are continually being

created to give guidance and direction to the initiative. **Ensuring that character**

education is part of the everyday curriculum is key to **sustainability**, effectiveness,

and the strength of the character education initiative.

The **character education initiative must be a major component of the school**

and infused into all aspects. Regular staff training continues and successes are **celebrated**

and recognized by the principal. Character education is **continually talked about** in all

areas of the school and meetings.

The character education initiative is now fully engrained into the school and is

part of the educational process, but is not free of obstacles. Obstacles that are faced

during this time include many of the same obstacles described above and include

maintaining the support of staff, students, and community members. Further, as time

passes and more responsibilities and pressures are put on schools for various programs,

test scores, etc. a school must maintain character education as an **integral component** to

its education program.

Core category. A core category was discovered that "consists of all the products

of analysis condensed into a few words that seem to explain what 'this research is all

about'" (Strauss & Corbin, 1998, p. 146). The core category "Principal Leadership in a

Character Education Program" was found that contain all the products of the

subcategories. Further, the core category is related to the following six subcategories: (a)

Cultural Engineer, (b) Plate Peddler, (c) Collaborative Leader, (d) Reflective Leader, (e) Moral Leader, and (f) Champion. The subcategories are also related to each other.

Subcategories. In some instances the subcategories are related and connected to one another. In the section below the interrelationships are discussed, starting with the Cultural Engineer.

Cultural engineer. Participants reported that they were involved in planning and building a sound culture and molding it to best meet the needs of the school and students. Throughout the planning and building principals reported the need to "brand the school" with the character education beliefs, vision, and motto. This philosophy is related to the roles that are played in the Champion subcategory of strongly promoting these beliefs. Further, the Cultural Engineer is related to the subcategory Plate Peddler. During the implementation stage of building the culture the principal must sell the philosophy of educating the whole child and focusing not just on teaching academics, but also on virtues and values.

Plate peddler. The Plate Peddler was recognized by participants as selling the character education initiative as the plate from which the offerings at a school are served on. Character education is not a separate program or initiative; it is how the school programs and activities are served up. As stated previously the subcategory Plate Peddler is related to the subcategories Cultural Engineer and the Champion. The support that is shown by championing the character education initiative is selling it to stakeholders.

Collaborative leader. A collaborative leader is one that involves others in making decisions. These acts are critical building blocks in a character education initiative to build support and lay a strong foundation. The subcategory Collaborative Leader is

related to the subcategory Plate Peddler. During the plate peddling process the principal

strives to get stakeholder buy-in. A collaborative leader works with others and empowers

them in the decision making process strengthening their buy-in to the initiative.

Reflective leader. The reflective leader is one who is constantly evaluating the

initiative through data and the researching of best practices. The subcategory Reflective

Leader is related to the subcategory Cultural Engineer. The cultural engineering process

involves evaluating gathered data to make the necessary changes in a culture.

Moral leader. The principal must act as the moral leader in a character education

initiative, exercising the school's adopted values and virtues. This subcategory is related

to the subcategory Plate Peddler. As a moral leader the principal is the example of the

program and is selling the initiative by their example. In order for a character education

initiative to be successful the leader and principal of the school must be an example of

high character. This subcategory is also related to the reflective leader subcategory. As a

moral leader the principal is continually reflecting on their behaviors and actions and

striving to improve to be the best person and example to those around them.

Champion. The principal acts as champion of the character education initiative to

promote it, give guidance, celebrate successes, and fight for it. As stated previously the

subcategory Champion is related to the subcategories Cultural Engineer and Plate

Peddler.

Summary

The findings from the semi-structured interviews and the external sources in this

chapter were produced using open, axial, and selective coding. During the open coding

process the data were broken down, examined, compared, conceptualized, categorized,

and themes emerged. Following the emerging of themes the data were analyzed through the axial coding process. The data were decontextualized and underwent the microanalysis procedures of axial coding. The data were then assembled in new ways or recontexualized according to the relationships and comparisons that emerged during the microanalysis. At the conclusion of the axial coding process six phenomena were identified as well as components of each phenomenon.

The final stage of data analysis that was conducted was selective coding—the process of selecting the core category through macroanalysis. The core category was identified and the phenomena were referred to as subcategories of the core category. Further, a description for each subcategory was given to articulate the relationships between the subcategories. The grounded theory was described and articulated in the form of a narrative report at the conclusion of the selective coding.

In the concluding chapter of this study, Chapter Five, the findings and conclusions of the open, axial, and selective coding processes are summarized. The findings are further explored through the exploration of the research questions central research question: How do high school principals develop, implement, and sustain a high functioning character education initiative? The subquestions are also evaluated and reviewed. The chapter and study concludes with postulations and implications for practitioners and future studies.

Chapter Five: Conclusions

Qualitative research is an inductive process which allows "researchers to get at the inner experience of participants, to determine how meanings are formed through and in culture, and to discover rather than test variables" (Corbin & Strauss, 2008, p. 12). The qualitative grounded theory approach allows the researcher to interact with the data for the purpose of building theory from the data (Glaser & Strauss, 1967). Chapter Five summarizes the findings from Chapter Four and presents the conclusion of the study. This chapter's summary presents a holistic view of the study and revisits the purpose of the study, which was to examine what high school principals do in award-winning character education initiatives. These purposes are discussed within the summary of the findings, where the review of literature is interwoven with the subcategories to create a better understanding. The following subcategories encapsulate the principals' beliefs, behaviors, and attitudes in an exceptional character education initiative: (a) Cultural Engineer, (b) Plate Peddler, (c) Collaborative Leader, (d) Reflective Leader, (e) Moral Leader, and (f) Champion.

The chapter begins by describing the qualitative process of formulating a grounded theory through microanalysis followed by macroanalysis. The research questions are answered and an analysis of the conclusions related to the literature is reviewed. Postulations are presented and explain the general themes found as a result of the holistic analysis of the reported data. Implications and recommendations for practitioners and future research on leadership in character education initiatives are addressed from questions that arose during and from this study. Additionally,

implications for practitioners explain how the theory can be used in regards to contemporary educational issues.

Holistic Analysis

The grounded theory concerning the "Principal Leadership in a Character Education Program" originated through the synthesis of the analyses applied to the gathered data. The data were found through the interview of 14 participants and the evaluation of written material related to the school and the participating principal. The grounded theory was developed through a culmination of analysis procedures following the design suggested by Strauss and Corbin (1998). Strauss and Corbin (1998) state that a grounded theory is "derived from data, systematically gathered and analyzed through the research process" (p. 12). The qualitative process of discovering a grounded theory includes open, axial, and selective coding. The grounded theory for this study is based on the six categories listed above, which emerged during the axial coding process. During the final coding process of selective coding a "core category" emerged—"Principal Leadership in a Character Education Program." The core category encompasses the following six subcategories: (a) Cultural Engineer, (b) Plate Peddler, (c) Collaborative Leader, (d) Reflective Leader, (e) Moral Leader, and (f) Champion. The core category, along with the subcategories, makes up the framework of the grounded theory that was discussed in Chapter Four.

Exploration of research questions

Creswell (2007) stated that the central question is "open ended, evolving, and unidirectional" (p. 107). Creswell (2007) recommended that "researchers to state the broadest question they could possibly pose about the research problem" (p. 108). The

subquestions take the phenomenon in the central question and break it down into smaller

subtopics for examination (Creswell, 2007). According to Strauss and Corbin (1998), in a

grounded theory study these subquestions can be posed as aspects of the steps of open,

axial, and selective coding.

The following central question established the overarching focus of this

qualitative grounded study:

How do high school principals develop, implement, and sustain a high

functioning character education initiative?

The subquestions in this study are grounded in literature about principal leadership in a

character education initiative. The purpose of this study was to explore the roles and

exceptional practices of high school principals in an effective character education

initiative. Therefore, the subquestions that gave the study its boundaries are answered to

give further clarification to the findings of the study. Each subquestion is stated and fully

explored.

What are high school principals' perceptions of the roles they play as they

develop an award-winning character education initiative? Participants reported that

there were several important roles that they played in the development of a character

education initiative in their high school. As a cultural engineer principals helped in

establishing the foundation of the character education initiative through a visionary

process, planning, organizing, and clarifying when needed. These roles helped in

establishing a fertile groundwork so that the character education initiative would be

successful. As the plate peddler the principal had to "sell" the initiative to all school

stakeholders—students, parents, teachers, other administrators, and community members.

Participants reported that character education is the plate from which education is served. In developing a character education initiative participants reported that they had to be collaborative leader and share leadership responsibilities to strengthen participant buy-in and establish the initiative on a solid foundation. Participants stated that they played the role of a reflective leader in using data, research, and best practices from scholars and other schools in establishing the vision and direction of the school and character education initiative. Part of being a reflective leader is researching and getting background information to be informed of the best practices and methodologies of implementation. Participants described that the most important role that is played throughout the character education initiative is being a moral leader. In order to develop a strong character education initiative there must be a leader at the forefront that is practicing the values and virtues that are desired by students and teachers. The final role that a principal plays is that of a champion showing support and fighting for the establishment of the character education initiative.

What are high school principals' perceptions of effective practices they utilize as they develop an award-winning character education initiative? Principal participants recounted several effective practices that were utilized during the development phase of a character education initiative. In addition to the roles that were played, principals reported specific practices that were outside and inside the scope of the roles that they played. Before building a character education committee a principal must do a needs assessment of the school to determine the strong and weak areas that must be focused on. The culture and school environment must be evaluated to determine if the climate is ripe for the growth of a character education initiative. Research is also key during this phase

so the principal can speak knowledgably and fluently of the need for character education. Attending conferences, visiting schools, reading are all necessary initial steps to fully understand the best practices of a character education initiative. Creating a character education committee or team of the best staff, students, and parents is necessary to build on a strong foundation. These people will help in peddling the initiative and help in getting buy-in and giving the input that will establish the character education initiative as a major component of the school. The principal and character education committee members need to develop a timeline and action plan with goals set to monitor the progress and ensure proper implementation.

   What are high school principals' perceptions of the roles they play as they implement an award-winning character education initiative? Participants reported that the implementation phase was the main phase of a character education initiative and there were many roles that a principal plays during this time. Throughout the implementation phase all the roles, described in the subcategories, were exercised by the principals: cultural engineer, plate peddler, collaborative leader, reflective leader, moral leader, and champion. Different components of these leadership roles were utilized by principals in this phase. Also, some of the components overlap into the other phases of the initiative—developing and sustaining. As a cultural engineer, principals stated that they continued to act as the visionary and clarifier to ensure that the initiative was implemented according to the vision established during the development process. Also, the planning and organizing did not stop after the development process in engineering the culture. The action plan was continually reviewed and the implementation was done deliberately and according to plan with the assistance of the character education committee. During the

implementation process the most important part of the cultural engineer's role according to participants was the branding of the school as a school of character. Character education became part of the whole educational process, the language of the school was centered on the adopted virtues, and relationships were strengthened.

Acting as the plate peddler was also a major role that was played by participants as the character education initiative was implemented. Principals reported that character education is not a separate dish of offerings but the dish on which the educational programs of the school are offered. Principals must believe that character education is an important aspect of the high school and that it will change the lives and culture of the school. Participants reported that in order to peddle character education a leader must be involved in every aspect of the initiative. Principal involvement shows stakeholders that the leader is serious about character education and that it gets others to buy-in. Getting stakeholder buy-in is one of the most important aspects of the initiative and will make or break the success of it. Principals reported that they were peddling a new educational philosophy—the education of the whole child. This holistic education did not focus strictly on academics but on the basic societal values and virtues that help one to be successful.

Participants reported that one way that they were able to secure buy-in and build the initiative on a secure foundation was by being a collaborative leader. Principals shared leadership responsibilities in the implementation phase by using the best teacher leaders and student leaders as part of the school character education committee to help in the leading and guiding of the initiative. Further, principals stated that it was important to empower stakeholders—students, teachers, and parents. Empowering staff to give

feedback and freedom in the implementation phase was important in securing their support and for the healthy development of the character education initiative. Empowering students to be part of the character education initiative through leadership, service learning, and giving input was important to implement the initiative with fidelity.

Principals stated that they played the role of reflective leader during the implementation stage of the character education initiative. As a reflective leader data were used to evaluate the implementation practices and to assess the changes in the school culture. As in the development phase, principals reported that they continued doing research to find the best practices and visiting schools to get ideas that would work in their schools. Also, during the implementation phase principals along with their character education committees continually reviewed their action plan and vision, mission, and belief statements. These goals and statements were modified based on the needs of the initiative as it was implemented. Further, staff members were encouraged to reflect on their practices and actions. Students participated also in reflective practices through behavior programs.

As in the development phase of the character education initiative the principal must play the role of the moral leader. The principal must exemplify the virtues and values that have been adopted by the school. The principal is the mouthpiece and keystone of the character education initiative and without their positive example the initiative is bound to fail. The leader must one that has high personal values, is continually seeking to improve, and is encouraging others at all times to exercise appropriate values and to improve.

Another role that the principal plays during the implementation phase is that of champion. The principal must be a major support of the initiative by celebrating successes, giving guidance, being a good communicator, and making funds available for the success of the initiative. Further, the principal must champion the efforts through hard work, ingenuity, and fighting for the initiative to ensure that it is implemented effectively and that any obstacles are overcome.

What are high school principals' perceptions of effective practices they utilize as they implement an award-winning character education initiative? Principals reported several different effective practices that were utilized during the implementation phase of the character education initiative. These practices overlap, in many instances, with the roles that the principals play. In order to get staff buy-in there are several effective practices that participants described: a) give staff the necessary tools and support, b) show how other character education initiatives are being successful in other schools, c) continually use data to support the initiative, d) help staff and students "catch the spirit" of the initiative. In order to help stakeholders to "catch the spirit" of character education principals should empower students through service learning activities. Service learning activities should be activities that students can connect with and that can be seen and is part of the students' community. Staff members should regularly attend professional development and staff meetings that focus on character education. Further, the implementation process should be done slowly and methodically. The timeline and action plan should be followed.

***What are high school principals' perceptions of the roles they play as they
sustain an award-winning character education initiative?*** The same roles of cultural
engineer, plate peddler, collaborative leader, reflective leader, moral leader, and
champion are played by principals throughout the sustaining phase of the character
education initiative. However, some of these roles take in a different scope and
responsibilities during this stage. As the cultural engineer the principal continues to
support and refine the changes that occurred during the implementation phase to ensure
that the positive culture of the school is maintained. Principals reported that they had to
continue to promote and peddle character education to all stakeholders to ensure that the
support was maintained for character education as part of the entire education program.
Even throughout the sustaining phase of the character education initiative, principals had
to continue with being collaborative in strengthening the initiative and in overcoming any
obstacles that may arise. Further, new sets of students were constantly coming through
the schools and winning them over to character education and some of its components
was necessary. Being a reflective leader is necessary to constantly look for ways to
improve the initiative and requiring others to reflect to improve their practices. Data are
constantly reviewed and evaluated to ensure that the character education initiative
remains on a strong foundation and that it is improved from year to year. Action plans are
continually being developed to ensure that best practices are being implemented that will
have the most impact on the school and students.

One of the most important roles in each phase is being a moral leader and
example of the virtues that are expected by staff and students. The principal is the key to
the success of the initiative and leading by example is necessary for the initiative to

remain strong. The initiative, according to participants, does not continue without struggles and obstacles. In order to sustain the character education initiative the principal has to continue their championing efforts. Championing the initiative through celebrating successes, providing continual guidance, and finding ways to improve is necessary for the successful sustaining of a character education initiative.

What are high school principals' perceptions of effective practices they utilize as they sustain an award-winning character education initiative? There are effective practices outside of the roles that a principal plays to sustain a successful character education initiative. Participants reported that character education became part of the hiring process of new staff members. Individuals being interviewed were asked questions related to character education and new employees were expected to embrace the philosophy of educating the whole child in relation to character education. Also, principals stated that they continually talked and promoted character education in all areas possible. Further, principals are continually striving to find ways to infuse character education into each aspect of the school—curriculum, culture, instruction, professional development, etc. Ensuring that character education is part of the everyday curriculum is necessary to ensure that the initiative is set on a solid foundation that will not falter.

Analysis related to the literature

The central question and subquestions were answered through the analysis of the data found from the interviews and news articles. The purpose of this section is to compare the data that have been synthesized and examined in the holistic analysis to the literature found in Chapter Two of the study. The data reviewed in this section have support in the existing leadership and character education literature. Roles of principals in

character education initiatives as described by participants align with DeRoch (2000) and

DeRoche and Williams' (2001) outline of the roles and responsibilities of leaders of

character education initiatives. These roles align with Marzano et al. (2005) postulations

of the roles of leaders in implementing and sustaining a new school program or initiative.

Also, the roles and responsibilities found in this study are congruent with the outcomes of

this Deal and Peterson's (1999) work on building an effective school culture. Participants

reported the need to orchestrate change effectively in order to develop, implement, and

sustain a successful character education initiative. Schein's (1992) steps and roles of

creating, building, and maintaining to incorporate and develop change are aligned to the

discovered roles and responsibilities of a principal as they implement a successful

character education initiative. The principal acts as the change agent by overseeing and

motivating the system to change and incorporate a holistic character education initiative

(Schein, 1992).

Further, the effective practices in character education initiatives discovered in this

study align with Lickona, Schaps, and Lewis' (1995) outline of what an effective

character education initiative is composed of. Also, the results of this study are supported

by the meta-analysis of Berkowitz and Bier (2007) and Lickona and Davidson (2005)

who have outlined specific factors that are characteristic of effective character education

initiatives.

The leadership theory of transformational leadership is aligned with the results

discovered in this study of the roles a principal plays in a character education initiative.

As stated above, Kouzes and Posner (1995) outline the four top qualities that leaders

exemplify as admired leaders: honest, forward-looking, inspirational, and competent" (p.

22). These qualities are reflected in the results of this study and the roles and exceptional

practices principals exercise in a character education initiative. Further, transformational

leaders, according to Hoy and Miskel (2008), "exhibit high standards of ethical and moral

conduct" (p. 446). Participants echoed these same sentiments of being examples of the

values and morals that are adopted and taught to the students. Moral leadership is central

to successful transformational leadership and subsequently to the implementation of any

initiative or school program (Burns, 1978; Bass, 1985; Schwartz, 2008; Garfield, 1986;

Sankar, 2003; Berkowitz, 2011; House, 1977; Covey, 1990; Sergiovanni, 1999).

Postulations

Analysis of the data relating to this study has resulted in the production of three

major postulations. These postulations have been labeled a) "Roles of principals in a

character education initiative," b) "The exceptional practices of principals in a character

education initiative," and c) "Timeline in implementing a character education initiative."

These themes are a result of a holistic analysis of the reported and analyzed data from the

qualitative process of open, axial, and selective coding.

Roles of principals in a character education initiative. Through the gathering

and analysis of the data it became apparent that there were six roles and many practices

that high school principals utilize throughout the life of a character education initiative.

These roles complement and support each other throughout the development,

implementation, and sustainment of an effective character education initiative. The

principal plays a key vital role in the character education initiative as in any program and

they have the power to make it successful or see if fail (Schwartz, 2008; Sankar, 2003;

Berkowitz, 2011; Covey, 1990). The six roles that were discovered in this study are listed and defined:

Cultural Engineer. A cultural engineer oversees and supervises the planning, designing, and development of the culture of the school as they plan, direct, and give guidance. Principals do this through various activities such as acting as guiding, clarifying, planning, organizing, designing, overseeing the development and implementation of the character education initiative. Finally, the principal ensures that the culture is branded by character education and that it becomes part of the entire school and part of each aspect of the school.

Plate Peddler. A plate peddler sells character education as part of the whole plate of education to all stakeholders of the school. Plate peddlers believe that character education is not a separate dish of offerings at a school but the plate on which the school offerings are served. Plate peddlers believe that character education is not an additional dish in the offerings at a school, but the plate itself—how character education is served and presented to its students. The character education dish must be served to the school stakeholders in an enticing and appealing manner. In order for a character education initiative to be successful a principal must sell this philosophy to the school stakeholders and get their buy-in. In order to do this the principal must strongly believe in character education and the results that it can bring. Also, the principal must be involved in every aspect of the character education initiative and with each group associated with the school—students, teachers, support staff, parents, administration, and community members.

Collaborative Leader. A collaborative leader shares leadership responsibilities with others and empowers others in the character education initiative. Shared leadership happens when the principal establishes a character education committee composed of teachers, students, administration, and community members and allows them to give input and feedback in regards to the initiative. Further, the collaborative leader finds ways to empower others to generate buy-in and support.

Reflective Leader. A reflective leader is constantly evaluating the character education initiative and encourages others to reflect on their actions and behavior to foster improvement. To evaluate the initiative the principal is regularly gathering and analyzing data, researching, visiting model schools, and constantly reviewing and re-evaluating vision, mission, belief statements to guide changes.

Moral Leader. A moral leader is one that has high values and morals and models the adopted school virtues in and out of school. They are constantly seeking ways to improve and to learn as a person and are encouraging others to exercise appropriate values and virtues at all times.

Champion. A principal acts as champion of the character education initiative by constantly sponsoring, supporting, and advocating for the initiative. The principal supports the initiative by celebrating the successes, providing financially, giving guidance, and effectively communicating expectations. The principal acts as a fighter and advocate to overcome obstacles that occur during each phase of the initiative.

The exceptional practices of principals in a character education initiative. The roles and exceptional practices that principals utilize to build and sustain a character

education initiative overlap in some cases. The successful practices are outlined and defined below:

Needs assessment. Before starting a character education initiative the principal should conduct a needs assessment of the school. This assessment should evaluate the environment, culture, climate, and academics to determine if the climate is ripe for character education growth. Data should be gathered through test data, surveys and interviews of all stakeholders. This data in turn are used to support the development and implementation of initiative by building support from stakeholders.

Create timeline/action plan. As with all school initiatives and programs a timeline and action plan should be used to implement the character education initiative. Further, to strengthen the character education initiative throughout the sustaining phase the timeline and action plan should be updated to ensure that sustainability is occurring and the initiative is growing and strengthened.

Implement slowly. The character education initiative should be developed and implemented slowly. It takes time for the roots of character education to take hold and to flourish. The character education initiative should be done methodically and principals should not expect it to be adopted and accepted overnight.

Service learning. Service learning is a powerful tool for principals to use to build support for a character education initiative. Students and staff alike become involved in service activities that encourage them to support and bolster character education. Service learning opportunities should be "brought home" and focus on activities that students can directly relate to and see in their own communities. These activities should be things that staff and students see regularly and they can see the results.

Staff training. Staff should regularly be training on best practices of character education in curriculum, instruction, and school culture. Professional development and staff meetings should regularly discuss and review character education practices to build support and help staff continue to try out new activities.

Infuse into the curriculum. Infusing character education into the curriculum is one of the last steps in the implementation of a character education initiative, but is one of the most important steps to ensure the sustainability of the initiative. Character education should be a focus in each course—assignments, questions, and discussion prompts should support the development of character.

Selection of new staff. To ensure the sustainability of a character education initiative all new staff should be supportive of it. Another area that administrators should screen interviewees on is their knowledge and background on character education and their ability to be a strong positive influence on students.

Continue to find ways to infuse character education into each part of the school. Principals should continue to find ways to infuse character education into each part of the school. After a character education has been established and is in the sustaining phase the work does not stop, principals must continue to learn and try new things and allow others to do the same to strengthen the initiative.

Brand the school. The character education initiative should become the heartbeat of the school and found in every aspect of the school—culture, language, mission, curriculum, discipline, instruction, discipline practices, extracurricular activities, assemblies, etc.

Timeline in implementing a character education initiative. The principal plays various roles and utilizes exceptional practices to build the character education initiative on a strong foundation and to embed it into the fiber of the school. A timeline was developed to help principals that are considering implementing a character education initiative. This timeline includes the roles and exceptional practices that are utilized at each phase of the initiative: development, implementation, and sustainment. Table 19 outlines the timeline:

Table 19

Character Education Timeline

Phase	Time	**Role /** *Responsibilities*	Effective Practices
Development	0-1 years	**Cultural Engineer**	
		Visionary	Has a vivid vision of what the school could/should become
			Decisions and actions are guided by this vision
		Clarifier	Keeps initiative on track
		Planner	Conducts a needs assessment of the school
			Develops action plan based on data
			Intentional in the process
			Creates a timeline for effective implementation

		Plate Peddler	
		Activist	Involved in every aspect of the initiative
		Salesman	Sells character education to get stakeholder buy in
		Collaborative Leader	
		Guide	Establishes a character education committee
		Reflective Leader	
		Evaluator	Uses data to drive change
			Researches best practices
			Visits model schools
		Moral Leader	
		Model	Exemplifies high values and morals
Implementation	2-5 years	**Cultural Engineer**	
		Visionary	Decisions and actions are guided by mission and beliefs of school
		Clarifier	Keeps initiative on track
		Planner	Continues to update action plan to guide process
		Organizer	Conducts regular staff training
		Designer	Brands the school
			Incorporates the character education initiative into every aspect of the school

		Infuses character education into classroom—curriculum and instruction
		Hires staff in support of character education
Plate Peddler		
	Activist	Is involved in every aspect of the initiative
	Salesman	Works to get buy-in from all stakeholders
		Uses data and exemplar schools to build support
		Provides regular professional development to staff
Collaborative Leader		
	Guide	Continues to utilize the character education committee to make decisions and drive the initiative
	Stakeholder Partner	Implements character education activities and opportunities to empower students and staff
		Solicits feedback from stakeholders
Reflective Leader		
	Evaluator	Uses data to drive change
		Researches best practices
	Stakeholder Counselor	Encourages staff to regularly reflect on their practices of implementing character education

			Encourages students to regularly reflect on their behavior and attitudes based on the school's adopted virtues
		Moral Leader	
		Model	Exemplifies high values and morals
		Mentor	Encourages others to practice appropriate behavior at all times
		Champion	
		Sponsor	Provides financial support
			Provides guidance and direction
			Communicates effectively
			Celebrates successes
		Advocate	Fights to overcome any obstacles
Sustainment	5+ years	*Same roles as Implementation Phase with emphasis on:*	
		Cultural Engineer	
		Designer	Strengthens school brand
			Continues to find new ways to infuse and strengthen initiative in each part of school
			Continues to strengthen the initiative as foundation of the school
			Hires staff in support of character education

Plate Peddler

Activist   Continues to be involved in every aspect of the initiative

Collaborative Leader

Guide   Continues to use the character education committee in making decisions and strengthening the initiative

Stakeholder Partner   Continues to strengthen character education activities and opportunities to empower students and staff

Reflective Leader

Evaluator   Uses data to drive change

Moral Leader

Model   Exemplifies high values and morals

Champion

Sponsor   Continues to provide guidance and direction

Advocate   Continues to fight to overcome any obstacles

Implications

The findings of this study have generated some significant implications. These implications are divided and outlined into two sections: a) "Implications for

practitioners," and b) "Implications for future studies." The first section outlines the implications to those school leaders who wish to utilize the findings of this study in their school.

Implications for practitioners. The purpose of this study was to explore the roles and exceptional practices of high school principals in an effective character education initiative. One benefit of this understanding would be to help principals that are considering implementing character education into their high school to know the best practices of leaders developing, implementing, and sustaining a character education initiative. It is hoped that readers of this study will look closely at the results and strive to apply these roles and practices to their own schools. Specific recommendations to principals include:

- Establish a character education initiative that has buy-in from students, teachers, parents, and community members.

- Build a character education initiative that is well thought out, deliberate, based on research, guided by a specific mission and goals, and with the support of strong, effective teachers.

- Implement a character education that is branded into school and becomes the foundation of the school environment and is found in each aspect of the school— culture, language, mission, curriculum, discipline, instruction, discipline practices, extracurricular activities, assemblies, etc.

- Continually gather and evaluate data to drive changes in the character education initiative. Also, research best practices of what other schools are doing to make their character education initiative effective.

- Continually model the adopted virtues and values of the school and be an example in and out of school.

- Develop a timeline for implementation, development, and sustainment. Principals should take their time in implementing a character education initiative to ensure that necessary support is built and that it is infused throughout the school.

- Find ways to empower students and staff by giving them opportunities for input, feedback, and leadership.

- Incorporate a well-organized service learning program that gets students involved in helping their own community and which they can relate to and see the effects of.

- Build support among staff by continually offering training and feedback. Also, hire staff that will support the character education initiative and that can be positive, encouraging role models.

Principals play varied major roles in the success of an effective character education initiative and they must be the force behind each phase of the initiative. The principal is the key figure of the initiative and without their support the initiative will falter. The principal must be a major supporter and driver of the initiative in order to build the support and establish the character education initiative on a firm foundation.

Implications for future studies. In answering the central question about what high school principals do to develop, implement, and sustain a high functioning character education initiative, a number of other questions have emerged that warrant further study. It is hoped that other researchers will use the conclusions from this study as a starting

point to gain deeper understanding of character education and leadership in a character education initiative. Some specific areas that emerged from this study and require further investigation are:

- Examine the roles teachers play in developing, implementing, and sustaining an effective character education initiative.

- Research the importance of student buy-in and support of a character education initiative.

- Examine the roles students play in a character education initiative.

- Study the roles and effective practices of district administration in a character education initiative.

- Conduct a quantitative study on the roles and practices of high school principals in establishing a character education initiative to support and strengthen the results of this study.

- Research the most effective ways to get school stakeholder (students, teachers, parents, and other community members) buy-in for a character education initiative.

- Conduct research that focuses solely on the roles high school principals play and exceptional practices utilized in effective character education initiatives in different types of schools—charter schools, international schools, alternative schools, boarding schools, private schools, parochial schools, etc.

- Examine teacher leader roles and exceptional practices in developing, sustaining, and establishing an effective character education initiative.

- Conduct research on the best practices in implementing character education into a high school's curriculum and instruction.

- Research to examine the principal's background and demographics and their relationship to implementing a character education initiative.

- Conduct research on the effectiveness of principal training programs and their impact on character education.

- Research the effectiveness of principal character education training programs and their effects on developing, implementing, and sustaining a character education initiative at the high school level.

- Examine why few character education initiatives exist in high schools compared to elementary and middle school levels.

Summary

Character education is once again an emerging need in schools and in countries to combat the negative influences that are constantly bombarding our youth (Schwartz, 2008). An effective character education initiative helps in preparing youth to take on the challenges that they face daily. High school principals are key to a successful character education initiative in their schools and this study has outlined the roles and practices that they must utilize to ensure the youth in their schools are prepared when they graduate. It takes strong leadership to oversee and establish an effective character education initiative that will develop the youth into productive upstanding citizens. Principals have the power to develop a character education initiative that will have lasting effects on their students, schools, and communities.

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Appendix A Character Education—What Stated are Doing

				Character Education--What States Are Doing	
State	**Legislative Support for Character Education**	**Year Started**	**Act(s)**	**Summary**	**State Contacts for Character Education**
Alabama	Mandates	1995	1975 Code of Alabama, Section 16-6B-2(h); 1995 Accountability Law, Act 95-313	The 1975 Code of Alabama mandates that ten minutes per day of character education are required for all K-12 students. The 1995 Accountability Law mandates character education. On April 20, 2001, Executive Order No. 50 was passed, establishing the Alabama Advisory for Safe Schools. A 2005 program provides every fourth grade student in Alabama with state-sponsored access to STAR Sportsmanship - a web-based character and sportsmanship education program created by Learning Through Sports. The Alabama Department of Education provides funding for the sportsmanship education program through CLAS (Council for Leaders in Alabama Schools).	Sara Wright, Coordinator, Academic Innovations, Curriculum and Instruction, Alabama Department of Education, 50 North Ripley Street, Gordon Persons Building, Room 3339, Montgomery, AL 36104 Tel (334) 242-8082 swright@alsde.edu
Alaska	Mandates	1998 2006	Alaska Character Education (ACE) Partnership; Alaska Statute Section 14.33.200	To develop strategies for implementing character education in Alaska, the Alaska Department of Education, Association of Alaska School Boards (AASB) and Alaska Parent Teachers Association (AKPTA) jointly sponsor the Alaska Character Education (ACE) Partnership. Through the efforts of the ACE partners, character education programs are being established in Alaska. Building on the Quality Schools Initiative, Alaska's plan for school reform, the Alaska Character Education Partnership features content related to Alaska's citizenship and healthy life skills standards, quality professional development, community involvement, and support for the school excellence standards.	Todd Brocious, Education Specialist, Safe and Drug-Free Schools, Innovative Programs, HIV, FASD, Elearning, and Quality Schools, Alaska Department of Education & Early Development 801 West 10th Street, Suite 200 Juneau, AK 99801-1894 Tel (907) 465-2887 Fax (907) 465-2713 todd.brocious@alaska.gov
Arizona	Encourages	2000	Senate Bill 1216 of 2000 Senate Bill 1369 of 2000 Senate Bill 1172 of 2001 House Bill 2121 of 2009 House Bill 2169 of 2009 Senate Bill 1121 of 2009 House Bill 2309 of 2009 House Bill 2287 of 2009 House Bill 2270 of 2009	In 2000, Arizona signed a bill into law that encouraged character education by covering character education and CE programs. In 2000, a voter initiative, Proposition 201, passed and gave funding for a $200,000 matching grant program to last for 10 years, which would cover teacher stipends to teach character education. Senate Bill 1172 requires Northern Arizona University's K-12 Center to administer the matching grant program and the Arizona K-12 Center to evaluate all character education programs. House Bill 2121 provides a tax rebate for individuals, couples or families who provide financial support to schools' character education programs. House Bill 2169 provides a similar tax rebate for private contributions toward public school classroom technology, the support of classroom activities, extracurricular activities or character education programs. Senate Bill 1121 adds tax rebates for textbooks and instructional materials. House Bill 2309 provides for tax rebates for fees paid for or cash contributions made toward testing for college credit or college entrance examinations or for the support of extracurricular activities or character education programs. In 2005, the State of Arizona passed a license plate program with proceeds to benefit proven and effective character education programs. This money must be distributed to 2-4 character education programs in Arizona. Right now, roughly $100,000 of this money goes to nonprofits to further character education in schools. HB 2270 calls for the disbursement of $200,000 each year to be released toward the matching grants program provided by SB 1172.	Arizona Department of Education, Character Education and Development, 1535 West Jefferson Street, Bin 18 Phoenix, Arizona 85007 Tel (602) 542-1755 Fax (602) 542-2289 Charactered@ade.az.gov http://www.ade.state.az.us/charactered/
Arkansas	Mandates	1997	Act 631 of 1997	Act 631 of 1997 mandates character education in all school districts for the state of Arkansas.	Dr. Reginald Wilson, Senior Coordinator Grants Initiative/Early Childhood, Arkansas Department of Education, Four Capitol Mall, Room 110-B, Little Rock, AR 72201-2936 Tel(501) 682-1059 reginald.wilson@arkansas.gov; http://www.arkansased.org/teachers/cct.htm l

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California	Mandates	2000	California Education Code Section 233.5(a) [formerly named Section 44806] and Section 44790.3 Assembly Bill 2028 of 2000	The state of California mandates character education in their Education Code and provides a character education manual for every teacher in the state. In 2000, Assembly Bill 2028 encouraged the State Board of Education to survey school boards and county offices on their need for instructional materials which foster character development and to report these findings to the State Board. In 2007, a resolution established the month of October as "Character Education Month" in California.	Dr. Marlena Uhrik, Safe and Healthy Kids Program Office, California Department of Education, 1430 N St., Sacramento, CA 95814 Tel (916) 319-0208 muhrik@cde.ca.gov http://www.cde.ca.gov/ls/yd/ce/
Colorado	Encourages	2001	Section 1, Article 29 of House Bill 01-1292 of 2001 "Caring Communities Builds Character" partnership	In 2001, Governor Bill Owens signed into law House Bill 01-1292, which "strongly encourages" school districts to develop and strengthen character education programs.	
Connecticut	Supports without legislation	1996	Partnerships in Character Education Pilot Project grant	The Connecticut State Department of Education received a $250,000 grant to use from 1996-2000 from the U.S. Department of Education in order to establish character education programs. There is currently no legislation proposed for character education; however, the state department of education does encourage districts to address character education in their curricula.	Dr. Jo Ann Freiberg, Associate Education Consultant, Bureau of District and School Improvement, Connecticut Department of Education, 165 Capitol Avenue, Room #222, Hartford, CT 06106 Tel (860) 713-6598 Fax (860) 713-7023 JoAnn.Freiberg@ct.gov
Delaware	Encourages	2000	HJR 9 of 2000; Title 14, Delaware Code 4112D 2008 (Bullying Prevention Law)	In 2000, Delaware's Legislature recognized the state as a "State of Character" and urged citizens to promote character in schools, businesses, homes, churches and other places. The state signed a Bullying Prevention Law into effect in 2008 which includes many of the same principles as character education. Legislation enacted during the 1994-95 school year and generous resources support school-based intervention programs that positively affect school climate, discipline and safety. While schools are using resources to implement character education, legislators intentionally avoided using the specific term "character education" due to past objections to the term "values education." In May, 2001, Delaware hosted its first Character Rally, a two-day event founded by Junior Achievement of Delaware to provide a fundamental understanding of ethics and the importance of building character in the lives of youth. More than 5,000 eighth graders attended. In 2003 Governor Minner declared that Character Education would become part how youth are educated and not a separate class. Delaware hosted the "Don't Laugh at Me" project and held many follow up training sessions for schools throughout the state.	Robin Case, Program Manager, Delaware Department of Education, John G. Townsend Building, 401 Federal Street, Suite #2 Dover, DE 19901-3639 Tel (302) 857-3320 Fax (302) 739-1780 rcase@doe.k12.de.us https://www.doe.k12.de.us/programs/climate/default.shtml
District of Columbia	Does not have CE legislation	N/A	N/A	The Office of the State Superintendent of Education held an Evening Policy Forum on December 11, 2007 entitled "Establishing School Climate for Academic Success." This forum included references to character education and CEP. Previously, the District of Columbia received a federal grant through "The Partnerships in Character Education Project Program" to implement character education programs from 2000-2005, but research has not yielded any more information. The grant aimed to help "design a reform model to connect character-building content and instructional strategies with existing curriculum standards, and to improve overall school climate" for 11 DCPS schools, serving 6,926 students (six elementary schools, two middle/junior high schools, and three senior high schools located in each of the District of Columbia's eight Wards). (Character Education Project Abstract)	N/A

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Florida	Mandates	1999	House Bill 365 of 1999 (Florida Statutes Sections 233.061 and 230.2316 amended) Senate Bill 20E of 2002	The 1998 Florida Legislature first authorized character education instruction in elementary schools. In 1999, House Bill 365 amended Florida Statutes, Section 233.061, requiring that a character-development program be provided in elementary schools, and that the program be similar to Character First or Character Counts. The statute requires programs to be secular in nature and stress such character qualities as attentiveness, patience, and initiative. Also amended in 1999 was Florida Statutes, Section 230.2316, requiring all dropout prevention and academic intervention programs to provide character development and law education. In 2002, Florida Legislature's passage of Senate Bill 20E required a character-development program in kindergarten through grade 12 beginning in the 2004-2005 school year. The State of Florida Advisory Committee on Character Education (SACCE), established in 1999, assists school districts in responding to the mandated character education initiatives.	Florida Department of Education, 325 West Gaines Street, Suite 424, Tallahassee, FL 32399-0400 Tel (850) 245-0760 http://www.fldoe.org/bii/Curriculum/Social_Studies/ce.asp
Georgia	Mandates	1997	Title 20, Chapter 2, Article 6 of the Official Code of Georgia amended with 20-2-145	In 1997, legislation required character education based on 27 traits centering around citizenship, respect for others, and respect for self. This character curriculum became part of the Georgia Quality Core Curriculum Standards required in elementary, middle schools, and high schools in the state.	Jeff Hodges, Education Administration Specialist, Title IV Safe and Drug-Free Schools and Communities, Georgia Department of Education, 1754 Twin Towers East, 205 Jesse Hill Jr. Drive SE, Atlanta, GA 30334 Tel (404) 463-7891 Fax (404) 463-0441; jhodges@doe.k12.ga.us
Hawaii	Supports without legislation	2005	Board Policy 2101 of 1997; Redesignated as Board Policy 2109 on 11/03/05	The Hawaii Legislature adopted character education as policy in 2001, but the bill was carried over to the 2002 legislative session. As of late, the bill has been neither passed nor vetoed. If passed, this bill would require schools to teach character education. In 2005, the State Board of Education designated Board Policy 2109, supporting character education an effective and valuable teaching resource.	N/A
Idaho	Does not have CE legislation	2000	House Bill 752 of 2000, not enacted into law	Though not enacted into law, legislators proposed amending Title 33 of the Idaho Code by adding Chapter 54, an "Ethics, Principles AND Virtue Education Fund." This fund would have promoted voluntary character education in schools and provided grants to public elementary school teachers of up to $150 to provide character education curricular materials and lessons to students. However, beginning in 2010, the Idaho State Board of Education will add character education as a content area to the Idaho Code.	Matt McCarter, Coordinator, Safe and Drug Free Schools, 21st Century Community Learning Centers, State Department of Education 650 W. State St., PO Box 83720, Boise, ID 83720-0027 T (208) 332-6961 MAmccarter@sde.idaho.gov http://www.sde.idaho.gov/CharacterEducation/default.asp
Illinois	Mandates	1998	Illinois Children's Mental Health Act of 2003 (Public Act 93-0495, Senate Bill 1951 of 2003); House Bill 1336 of 2005 (amended language originally defined in 1998)	In 2005, Illinois legislation mandated character education in all public schools. In 2007, Illinois received a grant of nearly $500,000 grant for character education. The US. Department of Education Partnerships in Character Education Program awarded the money to Illinois to develop pilot programs at eight high schools to teach skills for success in life. The four year program funded by the grant will allow the Illinois PBIS Network to work with these eight public high schools to integrate school- wide positive behavior supports and character education as part of their curriculum.	N/A

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Indiana	Mandates	1937	Indiana Code 20-10.1-4-4 (Morals Instruction)	In 1995, the Indiana General Assembly passed a mandate for good citizenship education and delineated 13 character qualities necessary for Indiana Citizens. This legislation was a restatement of similar passages of statutes enacted in 1937 and 1975. To accomplish the objectives of the legislation, the Indiana Department of Education partnered with Anderson University in 2000 to create the Center for Character Development to promote character education in Indiana's schools and communities. The state also created the "Partners for Good Citizenship: Parents, Schools, Communities" guide for all stakeholders working on effective character education.	Stefonie Sebastian, Indiana Department of Education, Service-Learning Specialist, Office of Curriculum & Instruction, 151 West Ohio Street, Indianapolis, IN 46204 Tel (317) 232-9153 Fax (317) 232-9121 ssebast@doe.in.gov; http://reading.indiana.edu/chared/
Iowa	Encourages	2003	Iowa Code, Section 256.18 (House File 2454 of 2002)	Founded in 1997, the Institute for Character Development at Drake University recognizes, enhances and sustains the positive qualities of Iowans in order to promote civility through character development. Its vision is that every Iowan embrace and practice good character by demonstrating trustworthiness, respect, responsibility, fairness, caring and citizenship. In 2002, the Iowa Legislature passed a bill encouraging character education in schools. The 2007 Iowa Legislature adopted a new law that requires school districts to have anti-harassment and anti-bullying policies.	Cyndy Erickson, Learning Supports Consultant, Iowa Department of Education, Grimes State Office Building, Des Moines, Iowa 50319 Tel (515) 281-8514 Cyndy.Erickson@iowa.gov
Kansas	Encourages	2007	Senate Bill 68, Sec 5(a) of 2007	KSA 72-8256 requires schools to adopt and implement a plan to address cyber bullying, adopt policies to prohibit bullying, and adopt and implement a plan to address bullying, which must include provisions for training and education of staff and students. A 2007 Senate Bill requires the State Board of Education to provide technical assistance for character education upon request from individual school districts. Kansas notes six important elements of character: caring, civic virtue, justice and fairness, respect, responsibility, and trustworthiness.	Kent Reed, Counseling Education Consultant, Character Education Project Director, Kansas State Dept. of Education, 120 SE 10th Ave., Topeka, Ks. 66612-1182 Tel (785) 296-8109 Fax (785) 296-3523 kreed@ksde.org http://www.schools.utah.gov/curr/lifeskills/Char_Ed.htm or http://www.ksde.org/Default.aspx?tabid=1799
Kentucky	Mandates	2000	House Bill 157 of 2000	In 2000, with the addition of Chapter 162, Kentucky amended Chapters 156 and 158 of the KRS to mandate character education in school curricula. With the passage of this bill, the Kentucky Board of Education must provide direction to schools and districts as they develop character education programs, identify useful teaching and strategies and instructional materials, and generally help schools incorporate character education throughout the curriculum.	Brigette Stacy, Leadership & Instructional Support, Kentucky Department of Education, 500 Mero St., 17th Floor CPT, Frankfort, KY 40601 Tel (502)564-4201 Brigette.Stacy@education.ky.gov
Louisiana	Encourages	1998	House Bill 102 of 1998 Bulletin 741	In 1998, the Louisiana Legislature voted to require that the Department of Education establish a character education clearinghouse and distribute information to all districts on various character education nonsectarian practices, models and potential funding sources. The law states that any city or parish school system *may* offer a character education curriculum, but does not *require* them to do so, effectively permitting parish school boards to offer character education curricula. The state's role as an information disseminator is clearly defined, as no single program or set of character traits are included. Additionally, a 1999 bill requires that students address all school employees as "ma'am" or "sir." This "school manners" law was the first to be passed in the country and it has led to other states considering similar legislation.	Nancy Beben, Director Division of Curriculum Standards Louisiana Department of Education P.O. Box 94064 Baton Rouge, LA 70804 T (225) 219-0835 F (225) 219-0474 Nancy.Beben@la.gov www.louisianaschools.net

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Maine	Encourages	1999	Title 20-A of Maine Statutes, Section 254.11. (Added to Statutes as Chapter 351 in 1999) and "Personal and Global Stewardship" section of the 1997 Learning Results passed by the Maine Legislature	Title 20-A, Section 254.11of the Maine Statutes (passed in 1999 and amended from 1821 Maine Law) established "Statewide Standards for Behavior." These standards call for the teaching and modeling of values that will result in educating successful students of good character. The importance of character is implied throughout the language of Maine's *Common Core,* as well as in academic standards of learning formally adopted by the Maine Legislature in 1997.	Susan Corrente, Esq., Maine Department of Education, 23 State House Station, Augusta, ME 04333 Tel (207) 624-6620 susan.corrente@maine.gov; http://www.maine.gov/education/cep/homep age.htm
Maryland	Encourages	1979	SH 122 of 1979: Governor's Commission on Values Education; Maryland Code, Section 7-304 (House Bill 1495 of 2006)	The Maryland Legislature introduced Senate Bill 737 in 2000 to mandate that all Maryland public schools develop curricula to teach character education, but the bill was not passed. However, state legislation does encourage character education. In 1979, a resolution established the Governor's Commission on Values Education. This Commission had 51 recommendations which encouraged local school systems to adopt the state's citizen and character objectives as their own, and to begin action immediately with existing resources. Though this commission was disbanded after the completion of their report in 1983, all 24 local school systems have worked since then to integrate character education into their curricula. Maryland was the first state to appoint a statewide character education coordinator. In 2006, Section 7-304 of the Maryland Code was amended to alter the standard by which a county board of education and the Board of School Commissioners of Baltimore City must require certain elementary schools to implement a positive behavioral intervention and support program.	Paula McCoach, Character Education Specialist, Maryland State Department of Education, Division of Student, Family and School Support, Youth Development Branch, 200 West Baltimore Street, Baltimore, MD 21201 Tel (410) 767-0047 Fax (410) 333-8010 pmccoach@msde.state.md.us http://www.marylandpublicschools.org/MSD E/divisions/studentschoolsvcs/youth_devel opment/character_ed.htm
Massachusetts	Does not have CE legislation	1999	"A Foundation for Citizenship Through Character Education" partnership	In 1999, the Department of Education sponsored a conference on character education entitled, "Cultivating Character and Civility through the Curriculum Frameworks." This was the first in a series of initiatives in character education sponsored by the state. From 2000-2005, the Department of Education formed a partnership with Boston Public Schools (BPS), Hampshire Educational Collaborative (HEC), Center for the Advancement of Ethics and Character at Boston University (CAEC), and Lynch School of Education at Boston College. "A Foundation for Citizenship Through Character Education" brought together rural and urban school districts from across the state to develop critically needed and timely educational curricula to incorporate a K–12 character education initiative in rural districts of Western Massachusetts and in urban Boston. This pilot project aimed to provide a replicable model for schools that educate rural and/or urban youth, and that educate student populations that are diverse with respect to age, grade levels, and a host of other demographics.	Richard M. Salus, Massachusetts Department of Education, Office of Curriculum Standards, 350 Main Street, Malden, MA 02148 Tel (781) 338-6252 rsalus@doe.mass.edu
Michigan	Encourages	2004	2004 Michigan State Board of Education Policy on Quality Character Education; Senate Resolution 168 of 2008	In 2004, the Michigan State Board of Education designed a policy on quality character education. They recommended that the *Eleven Principles* be adopted, implemented and evaluated in all public schools in the state. Michigan identifies 6 traits on which to focus character education: responsibility, trustworthiness, respect, fairness, caring, and citizenship. Currently, four schools are participating in a comprehensive pilot program of the Michigan Model Character Education Partnership project. In March 2008, the Michigan Legislature approved a resolution to encourage school districts to adopt and implement character education programs that address bullying.	Mary Teachout, CSHP-PANT Consultant, Coordinated School Health & Safety Programs, Grants Coordination & School Support, Michigan Department of Education, 608 W. Allegan St., Lansing, MI 48933 Tel (517)335-1730 Fax (517)373-1233 teachoutm@michigan.gov, http://www.michigan.gov/mde/0,1607,7-140-28753_38684_29233_29802---,00.html

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Minnesota	Encourages	2005	Minnesota Statutes 120B.232 House Bill 4162 of 2006	The Minnesota Department of Education supports districts' character education initiatives upon request. Minnesota Statutes encourage districts to integrate or offer character education programs encompassing qualities including truthfulness, respect for authority, self-discipline and respect for others; authorizes the use of available federal funds for these programs; and allows districts to accept private funding. In addition, a 2006 bill created a pilot program to allow school districts to receive money for purchasing character education curricula. In this bill, the commissioner of education was required to maintain a list of character education curriculum providers during the one-year grant period of 2006. Currently, the Minnesota Department of Education maintains a Web page that shares character education information and links, but does not specify providers.	Connie Anderson, School Improvement, Minnesota Department of Education, 1500 Highway 36 West, Roseville, MN 55113-4266 Tel (651) 582-8750 Fax (651) 582-8517 connie.j.anderson@state.mn.us, http://education.state.mn.us/MDE/Learning_Support/Counseling_Character_Service_Learning/Character_Education/index.html
Mississippi	Encourages	1999	Senate Bill 2121 of 1999	In 1999, Mississippi passed a bill encouraging, but not requiring, character education in all K-12 public schools. In addition to encouraging focus on specific character traits, the bill amended the Mississippi Code of 1972 to require teachers to have all pupils say the Pledge of Allegiance and the pledge of the state of Mississippi at least once each month. However, the law specifically states that no pupil with a religious or conscientious objection shall be required to say these pledges.	Chauncey Spears, Social Studies Specialist, Mississippi Department of Education, Office of Curriculum and Instruction, P.O. Box 771, Suite 330, Jackson, MS 39205 Tel (601) 359-2586 Fax (601) 359-2040 crspears@mde.k12.ms.us; http://www.mde.k12.ms.us/acad/id/character.html
Missouri	Supports without legislation	1988	CHARACTERplus organization	CHARACTERplus (formally known as PREP) was founded in 1988 by parents, educators, and business leaders to advance character education as an integrated, essential part of learning. In 1993, the concept of CHARACTERplus led to the establishment of Character Education Partnership (CEP) in Washington, DC. The U.S. Department of Education awarded CHARACTERplus a four-year grant in 1997 to spread character education throughout Missouri. Upon completion of this grant in 2001, the Missouri State Legislature voted to continue supporting this initiative by providing state funding. Currently, CHARACTERplus serves more than 700 schools, reaching 25,000 teachers and more than 360,000 students in Missouri, Illinois, and Kansas. Services include trainings, resources, collegial meetings, scholarships to conferences, and community collaboratives that focus on character and moral development, ethics, literacy, service learning, bully & sexual harassment prevention & intervention, etc. It is now the nation's largest community-wide response to character education.	Joan Krusor Davis, State Coordinator, Missouri Character Education Project, 301 Sherry Lane, Branson, MO 65616 Tel (417) 334-1188 krusordavis@earthlink.net; http://www.characterplus.org/default.asp or Liz Gibbons, Director, CHARACTERplus, 1460 Craig Road, St. Louis, MO 63146 Tel (314) 692-9728 Fax (314) 692-9788 lgibbons@csd.org; www.characterplus.org
Montana	Supports without legislation	2005	Senate Joint Resolution 12 of 2005, Montana Board of Public Education and Montana's Character Education Project (HR2)	In 2005, the Montana Board of Public Education approved a policy that requires all Montana school districts to implement bullying, intimidation, and harassment prevention policies and to proactively address bullying prevention. A list of suggested measures was provided to districts, as well as an accountability mechanism. The policy is located at ARM 10.55.701(3)(g) and ARM 10.55.801. Also, Montana's Character Education Project strives to promote American Indian academic achievement in Montana through the effective use of character education. This HR2 grant project is unique in that it focuses on the values and cultural traditions of Montana tribes and is particularly effective in districts with American Indian student populations and/or multi-cultural backgrounds. Currently, 10 Montana school districts with significant American Indian student populations participate in this project.	Madalyn Quinlan, Chief of Staff, Montana Office of Public Instruction, PO Box 202501, Helena, MT 59620-2501 mquinlan@mt.gov phone: 406-444-3168
Nebraska	Mandates	1996	Nebraska Statutes, Chapter 79, Sections 725, 726, and 727	In 1927, Nebraska introduced legislation defining the schools' role in character education. In 1996, personal characteristics such as honesty, morality, courtesy, obedience to law, respect for the national flag, the Constitution of the United States, and the Constitution of the State of Nebraska were identified in Nebraska Law 79-725 as desirable attributes for Nebraska citizens. The law also mandates that the Commissioner of Education provide suggestions for character education for all K12 schools in the state. Any person who does not comply with this law will be subject to a misdemeanor. Nebraska Character Education Guidelines can be found at http://www.nlc.state.ne.us/epubs/E2000/H091-2002.pdf	Larry Starr, Project Co-Director, Character Education, Nebraska Department of Education,301 Centennial Mall South, PO Box 94987, Lincoln, NE 68509 Tel (402) 471-2449 larry.starr@nebraska.gov, http://www.nde.state.ne.us/CHARACTERED/index.html

	Character Education--What States Are Doing				
State	**Legislative Support for Character Education**	**Year Started**	**Act(s)**	**Summary**	**State Contacts for Character Education**
Nevada	Does not have CE legislation	2002	Nevada Character Education Project (NCEP), Nevada Department of Education	From 2002-2006, the Nevada Character Education Project (NCEP) received a grant to partner with the Nevada Department of Education, the Washoe School District, the Nevada Attorney General's Office and WestEd. The project included the design, development and implementation of an effective character education program to teach values such as caring, civic virtue and citizenship, justice and fairness, respect, responsibility and trustworthiness to students. A comprehensive literature review of best practices in character education was conducted and guided by the *Eleven Principles* . Participants utilized Nevada state standards adopted by the Nevada Council as a vehicle to embed character education into daily lessons. In the 2007, character education was included in the "Discretionary Grants-Unrestricted (B/A 2706)" category of Nevada's education programs.	Michael Fitzgerald, Project Director, Nevada Character Education Project, Nevada Department of Education, Office of Special Education, ESEA, & School Improvement, 700 East Fifth Street, Carson City, NV 89701 Tel (775) 687-9168 Fax (775) 687-9250 mfitzgerald@doe.nv.gov
New Hampshire	Does not have CE legislation	1993	House Bill 1162 of 2004	In 1993, New Hampshire established a values program for its teachers. A new state rule required educators who desired recertification to complete five hours of instruction in character and citizenship education. (These hours were included in the 50 hours of professional development that teachers must accumulate every three years to maintain certification.) To provide technical assistance in meeting this new rule, the New Hampshire Department of Education formed an advisory group of professionals from school districts, teachers unions, principals associations, and teacher education programs. This group now encompasses staff development committees, regional workshop centers, and liaisons with national character education organizations. In 1995, the state received a Safe and Drug Free Schools and Communities Grant to address the occurrence of violent incidences on school grounds. In 2004, House Bill 1162 amended RSA 193-F, the Pupil Safety and Violence Prevention Law, to require that school boards have a safety and violence prevention policy.	Kenneth Relihan, Consultant for Social Studies & World Languages, New Hampshire Department of Education, 101 Pleasant Street, Concord, NH 03301, Tel (603) 271-6151, krelihan@ed.state.nh.us
New Jersey	Does not have CE legislation	2000	New Jersey Character Education Partnership (NJCEP) Initiative; Executive Order Number 9 of 2002; Senate Bill 1749 of 2006; N.J.A.C. 6A: 16-7.6	In 2000, the Governor established the New Jersey Character Education Partnership (NJCEP) Initiative. The purpose of this initiative is to assist public school educators in adopting character education programs that will meet the developmental needs of students by promoting pro-social student behaviors and creating a caring, disciplined school climate conducive to learning. The Governor's FY 2003 budget provided $4.75 million to public school districts, charter schools and state facilities to support character education program development and implementation during the 2002-03 school year. In 2002, the governor of New Jersey signed an executive order which established The New Jersey Character Education Commission. This commission now reviews best practices for character education and sets forth options for communities and school districts to undertake the development of community-based character education programs. In 2006, Senate Bill 1749 required boards of education to offer elementary school students instruction in gang violence prevention. Additionally, N.J.A.C. mandates that each district school board adopt a set of core ethical values to guide student behavior, with input from the local community.	New Jersey Department of Education, Office of Program Support Services, Tel (609) 292-5935 http://www.state.nj.us/education/chared/summary.htm; http://www.rucharacter.org/
New Mexico	Does not have CE legislation	1994	Character Counts! New Mexico; New Mexico Standards for Excellence, 6.30.2.8	In 1994, approximately 30 community leaders formed Character Counts! New Mexico in Albuquerque. The Council has organized itself into both standing and ad hoc work groups to develop plans to broaden Character Counts! in New Mexico. Section 6.30.2.8 of the New Mexico Standards of Excellence, passed in 1996, identified the personal qualities of individuals that New Mexico schools and communities should recognize and promote in character education to achieve student success as responsible, productive, and caring citizens. In 2004, the US Department of Education awarded funds to a new venture - The New Mexico Character Education Partnership - which brought together the New Mexico Public Education Department, Albuquerque Public Schools and NM School districts/charter schools in a project to build statewide leadership for sustainable character education in New Mexico. The partnership funded 30 three-year projects to establish character education in schools and communities in the following core values: trust, respect, responsibility, fairness, caring and citizenship.	Pat Concannon, Humanities Bureau, Social Studies Administrator and Character Education Project Director, New Mexico Public Education Department, 300 Don Gaspar, Santa Fe, NM 87501 Tel (505) 827-6525 Fax (505) 827.6694 patann.concannon@state.nm.us; http://sde.state.nm.us/Humanities/CharacterEd/index.html

				Character Education--What States Are Doing		
State	**Legislative Support for Character Education**	**Year Started**	**Act(s)**	**Summary**		**State Contacts for Character Education**
New York	Mandates	2000	Project SAVE (Safe Schools Against Violence in Education Act)	In 2000, the New York Assembly enacted Project SAVE, the Safe Schools Against Violence in Education Act. This provided for codes of conduct on school property, school safety plans; uniform violent incident reporting system; protection of school employees; omnibus school violence prevention grant program; and instruction in civility, citizenship and character education. In January 2002, Bill Number A4816 was referred to the Committee on Education to require the development of curricula in character education. As of yet, it has not been passed.		Dr. Phil Fusco, Academy for Character Education at the Sage Colleges, Tel (518) 244-2336, docwasue@aol.com
North Carolina	Mandates	2001	Student Citizen Act of 2001 (House Bill 195 of 2001)	The Student Citizen Act of 2001 (SL 2001-363) was passed into law by the North Carolina State Legislature. This act requires every local board of education to develop and implement character education instruction with input from the local community.		Deborah G. Prickett, Character Education Consultant, Program Monitoring & Support Division, Support Services Section, North Carolina Department of Public Instruction, 6350 Mail Service Center, Raleigh, NC 27699-6350 Tel (919) 807-3949 Fax (919) 807-3322 dprickett@dpi.state.nc.us; http://www.ncpublicschools.org/charactereducation/
North Dakota	Supports		North Dakota Century Code, Article 15-38-10; North Dakota Constitution, Article 8, Section 3	Courses in Character Education are not mandated by the state. The Coalition for Character Education in North Dakota (CCEND) is an organization of stakeholders and partners formed in response to the Partnerships in Character Education Pilot Projects Grant received in 1999. The North Dakota Department of Public Instruction Division of Independent Study received the grant under the U.S. Department of Education Fund for the Improvement of Education. (The grant administration was then moved to the School Health Unit within DPI.) The coalition coordinates character education activities and shares ideas and information between partners.		Drinda Olsen, Coordinator, Coordinated School Health, North Dakota Department of Public Instruction, 600 E. Boulevard Ave., Dept. 201, Floors 9, 10, and 11, Bismarck, ND 58505-0440 Tel (701) 328-2269 dolsen@nd.gov; http://www.dpi.state.nd.us/characed/index.s htm
Ohio	Encourages	1990	Character Education in Ohio: Sample Strategies, Ohio State Board of Education and Ohio Department of Education (1990); House Bill 181 of 2001; H.C.R. 28 of 2002; 123 H.B. 282; 123 H.B 640; 123 S.B. 237; 123 S.B. 245	In 1990, the Ohio State Board of Education and Department of Education produced a document to assist schools in implementing character education activities. This document included character trait inventories, character education needs assessments, and sample lesson plans for the classroom. In FY1999 and FY2000, the Ohio General Assembly appropriated $1,050,000 for grants of up to $50,000 for schools/districts to be used for character education. In 2002, H.C.R 28 (a concurrent resolution) urged the citizens of Ohio to encourage positive leadership and youth character qualities. It designated Ohio as a "State of Character" and requested that Congress take action to promote character education. Currently, Ohio Partners in Character Education (OPCE), with the Department of Education, facilitates character education programs in Ohio schools and communities and provides professional development, advocacy, a statewide character network, and the Ohio Schools of Character Awards. Current social studies academic content standards also include character education.		Dr. Lucy Frontera, Executive Director, Ohio Partners in Character Education (joint initiative of the Ohio Department of Education and the Ohio Better Business Bureaus), 1169 Dublin Rd., Columbus, OH 43215 Tel (614) 893-9971 or (614) 486-6531, ext. 137 Fax (614) 486-6631, frontera@pipeline.com, www.charactereducationohio.org

				Character Education--What States Are Doing		
State	Legislative Support for Character Education	Year Started	Act(s)	Summary		State Contacts for Character Education
Oklahoma	Encourages	1999	The Oklahoma State Legislature established a character education grant program in House Bill 1704 in 2005. Initial funding for the character education programs was later provided through House Bill 1133 in 2007. The grants are administered through the Oklahoma State Department of Education as the Oklahoma Schools of Character Grant.	In 2005, House Bill 1704 amended this new law to authorize every school district in the state to develop character education for grades K-12. It also mandated that the State Board of Education develop a Web site that includes a list of character education programs, materials, and reading list to be used by districts; start a character education honor roll to recognize districts that had successfully implemented character education programs; and award grants of up to $1,000 to 10 school districts to implement comprehensive character education programs. In 2007, HB 1133 made available initial funding for state character education programs.		Lisa Pryor, Assistant Superintendent, School Improvement, Office of Innovation, Support and Alternative Education, Oklahoma State Department of Education, 2500 N. Lincoln Boulevard, Suite 315, Oklahoma City, OK 73105 Tel (405) 522.0276 Fax (405) 522.0496 lisa_pryor@sde.state.ok.us; http://sde.state.ok.us/Programs/Character/default.html
Oregon	Encourages	1999	Oregon Revised Statutes 336.067 and 336.181	In 1999, Oregon revised its Statutes, with Section 336.181, to encourage character education in all public schools for grades K 6. In 2005, the Oregon Legislature revised the list of character traits that should be taught in schools with Section 336.06. In addition, the Oregon Character Education Partnership was established in 2001 to increase the capacity to establish comprehensive character education programs in Oregon schools that will foster high academic achievement and good character in students; and improve student achievement, attitudes and behaviors, staff morale, and community support.		Andrea Morgan, Education Specialist, Social Sciences Curriculum, Advanced Placement Incentive Program and Test Fee Program, Oregon Department of Education, 255 Capitol St. NE, Salem, OR 97310-0203, Tel (503) 947-5772 andrea.morgan@state.or.us
Pennsylvania	Encourages	1999	Act 36 of 1999; Act 70 (House Bill 564) of 2004, which amended Article 15-E in the Pennsylvania Public School Code	Passed in 1999, Act 36 provided grants for schools to provide safety-related technology, personnel, or programs for their students. More recently, Act 70 of 2004 amended Article 15-E in the Pennsylvania Public School Code by encouraging character education in all Pennsylvania K-12 schools. Specifically, the bill defined character education, established a character education advisory group, and outlined State Department of Education duties, including: establishing criteria for programming, providing resources and technical assistance to school districts, analyzing effective programs, disseminating information, and establishing the Character Education Grant Program to support schools. The Pennsylvania Alliance for Character Education (PACE) was an initiative of the Pennsylvania Service-Learning Alliance to support the integration of character education across Pennsylvania, but it dissolved in 2007.		Jeffrey Zeiders, Social Studies Advisor, Bureau of Teaching and Learning Support, Division of Standards and Curriculum, Pennsylvania Department of Education, 333 Market Street Harrisburg, PA 17126 Tel (717) 783-1832 Fax (717) 783-3946 jzeiders@state.pa.us http://www.paservicelearning.org/Pace/Legislation.htm. Other contact: Mary Ramirez, maramirez@state.pa.us

				Character Education--What States Are Doing	
State	Legislative Support for Character Education	Year Started	Act(s)	Summary	State Contacts for Character Education
Rhode Island	Encourages	1997	House Resolution 387 of 1997 RI 2008 Public Laws, Chapter 08-220 (H7569 Sub A)	In 1997, House Resolution 387 endorsed the implementation of character development education in Rhode Island public schools. In 2000, the US Department of Education and the Rhode Island Department of Education jointly funded a pilot character development program called "Healthy Schools! Healthy Kids!" The program was built on the principles of social and emotional learning and the incorporation of current state and local reform efforts. The Rhode Island Character Education Partnership (RICEP) is currently engaged in a learning and planning year of a three year grant award. Years two and three will support the implementation of objectives in professional development, curriculum revisions, students' character development, parent and community involvement and support, promotion and recognition, and replication of RICEP programs throughout the state. RICEP maintains that here is no single formula for character education programs. They do use CEP's 11 Principles of Character Education as a guide for program design and implementation. The RI jointly funded pilot character development program ended in 2003. The RI Department of Education and RI Coordinated School Health Program - thrive - continue to support social emotional competencies and 11 Principles of Effective Character Education.	Dr. Midge Sabatini Manager, Coordinated School Health Program RI Department of Education 255 Westminster Street Providence, RI 02903 T (401) 222-8952 F (401) 222-4979 Midge.Sabatini@ride.ri.gov www.thriveri.org
South Carolina	Mandates	2000	South Carolina Code, Section 59-17-135 (Amended from 1976 Code)	In 1996, the State Department of Education received a four-year federal grant for design of a long-term plan and infrastructure development for character education programs. As the federal grant was concluding, the General Assembly passed the South Carolina Family Respect Act in 2000 and appropriated $265,000 for character education in the Department of Education. This act mandated that each local school board develop a policy addressing character education and required that both policy and resulting programs be evaluated. In 2005, the South Carolina General Assembly passed comprehensive legislation to develop career clusters for students and increase high school graduation rates. Revising the code from the Family Respect Act, the legislature passed the South Carolina Education and Economic Development Act. In Section 59-17-135 of the South Carolina Code, this amended code outlined twenty-four character traits to be addressed in character education programs implemented by local school boards of South Carolina.	Joan Dickinson, Education Associate, South Carolina Department of Education, 3700 Forest Drive, Suite 101, Columbia, SC 29204 Tel (803) 734-4807 Fax (803) 734-3043 jdickins@ed.sc.gov; http://www.ed.sc.gov/agency/Innovation- and-Support/Community-and-Parent-Services/Charactereducation/Index.html
South Dakota	Mandates	1997	South Dakota Legislative Statute, 13-33-6.1	In 2001, the South Dakota Department of Education received a federal grant to develop comprehensive character education efforts across the state. Ten school districts were selected to pilot character education concepts and strategies. The goals for the grant were: to establish high quality character education implementation sites that embrace the virtues embodied in the South Dakota Code in a manner which effectively models the principles of good character; to develop the lifelong skills and ethical behaviors necessary to be contributing citizens in a democratic society; to link local, state and federal resources that merge effective school research and character development; and to maintain or improve student academic achievement. This grant is no longer in effect.	Micky J. Wienk, Coordinator, Dakota Character Project, ESA 6 & 7 Education Specialist, TIE Office, 1925 Plaza Blvd, Rapid City, SD 57785 Tel (605) 394-1876 mwienk@tie.net
Tennessee	Mandates	1985	Tennessee Code Annotated (TCA), Sections 49-6-1007 and 49-2-118; House Bill 3456 of 2004/Public Chapter Number 919; House Bill 2790 of 2008	In 1985, the Tennessee General Assembly passed TCA 49-6-1007, mandating that instruction in all public schools include character education. In 1999, this legislation was amended to include that school systems report information about their character education programs to the Department of Education and General Assembly. Also in 1999, TCA 49-2-118 was passed and mandated that grades 1-6 include nonviolence conflict resolution learning in character education. In 2004, the legislature approved House Bill 3456 (Public Chapter Number 919) to recognize schools that develop model instructional methods and administrative policies for character education and disseminate best practices. In 2008, the legislature passed House Bill 2790, which urged all K-12 public schools to provide instruction on nonviolence as a means to conflict resolution in character education curricula. Since 1988, the reigning Miss Tennessee has served as the Spokesperson for a Safe and Drug-Free Tennessee addressing issues of drug/alcohol awareness and prevention and making responsible choices.	Laura Ellis Nichols, Director, Extended Learning Programs & Character Education, School Safety & Learning Support Programs, Tennessee Department of Education, 710 James Robertson Parkway, 5th FL, Nashville, TN 37243 Tel (615) 253-6037 Fax (615) 532-6638 Laura.Nichols@state.tn.us, http://tennessee.gov/education/learningsupport/titlevpartd/bestpractices.shtml

				Character Education--What States Are Doing	
State	**Legislative Support for Character Education**	**Year Started**	**Act(s)**	**Summary**	**State Contacts for Character Education**
Texas	Encourages	2001	House Bill 946 of 2001/Texas Education Code, Section 29.906	In 2001, the Texas Legislature passed House Bill 946, which permits school districts to implement character education programs for students. Programs offered under Texas Education Code, Section 29.906 must meet the following criteria: stress positive character traits as outlined in the bill; use integrated teaching strategies; and be age appropriate. Districts are also required to consult with parents of students, educators, and members of the community, including community leaders, in selecting a character education program. The bill does not require or authorize the proselytization or indoctrination of any specific religious or political belief. The Texas Education Agency is required to maintain a list of character education programs that meet the above criteria. Every year the Agency will designate each school as a Character Plus School that provides a program that meets the criteria and is approved by a committee as defined in the bill.	Kelly Callaway, Director, Advanced Academics/Gifted Education, Division of Curriculum, Texas Education Agency, 1701 N. Congress Ave., Austin, TX 78701-1964 Tel (512) 463-9581 Fax (512) 463-8057 kelly.callaway@tea.state.tx.us
Utah	Mandates	2004	Utah Code Annotated, Sections 53A-13-101.4 and 53A-13-109; HCR 7 of 2003; House Bill 339 of 2006	In 2002, the Utah General Session enacted Section 53A-13-101.4 of the Utah Code. This section mandated that Utah public schools be periodically reviewed to ensure that effective instruction in American history and government were taking place. In 2003, HCR 7 was passed to promote character and citizenship education in schools through an emphasis on teaching civic responsibility and respect for others. The Legislature also moved to recognize the Utah schools and education leaders whose teaching of civic responsibility and respect had brought honor to the state. In 2004, the Utah General Session enacted Utah Code, Section 53A-13-109, which defined civic and character education, and required both to be included in the K-12 social studies curriculum and universally taught in connection with regular school work. In 2006, House Bill 339 established the Utah Commission on Civic and Character Education. With $50,000 in appropriations for FY 2006-2007, the Commission promoted coalitions for public awareness and training regarding civic and character education.	Alan Griffin, Life Skills, Academic Service Learning Specialist, Utah State Office of Education, 250 East 500 South, Box 144200, Salt Lake City, UT 84114-4200 Tel (801) 538-7761 Fax (801) 538-7769 alan.griffin@schools.utah.gov; http://www.schools.utah.gov/curr/lifeskills/Char_Ed.htm
Vermont	Supports without legislation	2000	Vermont's Framework of Standards and Learning Opportunities	Vermont's Framework of Standards and Learning Opportunities includes personal development standards (worth and competence, healthy choices, making decisions, relationships, and workplace) and civic/social responsibility standards (service, human diversity, and change.) In 2001, Vermont received a 5-year Partnerships in Character Education Project Program grant from the US Department of Education. In order to design and implement character education curricula in Vermont, the Vermont Commissioner of Education invited each of the 60 local education agencies to join in partnership with the Vermont State Education Agency. The Department planned a curriculum design team to identify, design, adapt and revise character education curriculum components. After completing an intensive summer institute, teachers, special educators, and paraprofessionals in each model site implemented the curriculum. An annual statewide Character Education Conference will disseminate the project's results statewide.	Charles Johnson, Education Consultant, Safe Schools, Tel (802) 828-0371, Fax (802) 828-0573 (F) charles.johnson@state.vt.us
Virginia	Mandates	1999	Code of Virginia, Sections 22.1- 208.01,22.1-201 and 22.1-202; House Bill 1498 of 2003 (Chapter 777)	In 1999, the Virginia General Assembly amended the Code of Virginia to require character education. The amendment required the teaching of values, including the inappropriateness of bullying. The Board of Education was required to establish criteria for character education and provide resources to school divisions. It was also allowed to award grants to school boards for innovative programs. In 2000, Section 22.1-201 of the Code of Virginia was amended to require that documents such as the Declaration of Independence, Constitution of the United States, Bill of Rights, the Virginia Statute of Religious Freedom and the Virginia Declaration of Rights be taught to students to increase knowledge of citizens' rights and responsibilities. In 2001, Section 22.1-202 of the Code of Virginia was amended to require that students receive instruction in the principles of the United States and Virginia flags and learn the Pledge of Allegiance. In 2003, House Bill 1498 modified the character education requirement to include Virginia's civic values (Article I, Virginia Constitution).	Vivian Stith-Williams, Specialist, Office of Student Services, Virginia Department of Education, P.O. Box 2120, Richmond, VA 23218-2120 Tel (804) 225-4543 Vivian.Stith-Williams@doe.virginia.gov; http://www.doe.virginia.gov/VDOE/Instruction/CEP/

				Character Education--What States Are Doing	
State	**Legislative Support for Character Education**	**Year Started**	**Act(s)**	**Summary**	**State Contacts for Character Education**
Washington	Encourages	1993	RCW 28A.150.210 (1993) and 28A.150.211 (1994)	In 1993, the State of Washington passed RCW 28A.150.210, which described the Basic Education Act. This act required the state of Washington to provide students with the opportunity to become responsible citizens, to contribute to their own economic well-being and to that of their families and communities, to explore and understand different perspectives, and to enjoy productive and satisfying lives. In 1994, Section 28A.150.211 was added to the Basic Education Act and considered character education an integral part of public education, but left the responsibility for implementation and assessment to local school boards.	Gayle Pauley, Director, Title I/LAP/CPR, Washington Office of Superintendent of Public Instruction, Old Capitol Building, PO Box 47200, Olympia, WA 98504-7200 Tel (360) 725-6100 gayle.pauley@k12.wa.us
West Virginia	Mandates	2001	1995 State School Act; House Bill 2208 of 2001 (amended West Virginia Code, Section 18-2-13); West Virginia Code, Section 18- 2-9	Passed in 1995, the State School Act required the state department of education to develop a preventative discipline program consisting of a weekly character education discussion. In 2001, the West Virginia Legislature passed House Bill 2208 (amended West Virginia Code, Section 18-2-13) which required the state board to establish comprehensive character education into all aspects of school culture, school functions and existing curriculum. In addition, West Virginia Code, Section 18-2-9 requires that all students complete courses in civics, the U.S. Constitution, and national and state government.	Shelly K. Stalnaker, Character Education Coordinator, Office of Healthy Schools, West Virginia Department of Education, 1900 Kanawha Boulevard East, Building 6, Room 309, Charleston, WV 25305 T; el (304) 558-8830 Fax (304) 558-3787 shestaln@access.k12.wv.us; http://wvde.state.wv.us/osshp/section1/CharacterEducation.htm
Wisconsin		1983	Wisconsin Statutes, Section 118	In 1983, the Wisconsin State Legislature enacted/amended Section 118 to include educational goals and expectations for K-12 public schools. Though no sub-sections specifically mention character education, ideas such as positive work attitudes and habits, citizenship, the skills to participate in political life, an appreciation and understanding of different value systems and cultures, the ability to construct personal ethics and goals, and the skills needed to make sound decisions are clearly listed as modes of understanding for Wisconsin's public school students.	Gary Sumnicht, Consultant, Wisconsin Department of Public Instruction, GEF III, 125 South Webster St., P.O. Box 7841, Madison WI, 53707-7841 Tel (608) 267-5078 gary.sumnicht@dpi.wi.gov
Wyoming	Does not have CE legislation	N/A	Wyoming Code, Sections 21-9-101 and 21-9-102	Under the Safe and Drug Free Schools and Communities Act, the Wyoming Department of Education distributes funds to support local prevention of tobacco, alcohol, drugs and violence. Wyoming has a variety of programs that local school boards have adopted to increase the safety of schools. Those programs include: Bully Proofing Your School, Boys' Town, Conflict Resolution Skill Development, Character Counts, and Anger Management Training.	Christine Revere, Coordinated School Health/Safe and Drug Free Schools Consultant, Wyoming Department of Education, 2300 Capitol Avenue, 2nd Floor, Cheyenne, Wyoming 82002 Tel, Cheyenne (307) 777-5847, Tel, Riverton (307) 777-2562 Fax (307) 777-6234 crever@educ.state.wy.us

Appendix B National Schools of Character Application

CEP's State and National Schools of Character

**Questions Asked on the 2013 Application and
Tips for Applicants**

See below for more information about the specific questions applicants will be asked and for tips on how to respond to those questions.

CREATING AN ACCOUNT
When you access the online application for the first time, you will be asked to create an account. For this you will need to enter:

> Name:
> E-mail:
> Password:

Note that you will create your own password. Once you create an account, you will be able to login as many times as you wish prior to December 3 by entering your e-mail and password. Once you submit your application, you will no longer be able to edit your application.

When you login for the first time, you will press "Start New Application." This will take you to a screen that will ask you if the application is for a public school, charter school, private school, or school district. Once you select, you will be taken to Part 1.

You may create as many application drafts as you wish, although you may only submit one for review.

PART 1: APPLICANT INFORMATION

Please note that contact information and demographic information entered in this section may appear on CEP's website and in CEP publications if you are named a National Finalist.

Basic Information

*Full name of school (or district):
School district (for public and charter schools only):
*Street address:
*City:
*State:
*Zip Code:
*Main phone number:
Website:

Contact Information

Main Contact

*Prefix:
*First Name:
*Last Name:
*Title or Position:
*E-mail:
*Phone:

Administrator Contact (if different from main contact person)

Prefix:
First Name:
Last Name:
Title or Position:
E-mail:
Phone:

Name of principal (or head of school or superintendent):
*Is he/she fully supportive of this application? [Yes/No]

Demographics

*Setting: [urban (city), urban (town), suburban, rural]
*Grade levels:

*Category of grade levels: [elementary, middle, high, mixed]
*Student enrollment:
*Total number of schools and specialized learning centers (for districts only):
*Mobility rate: __%
*Per pupil cost/expenditure (for public schools, charter schools, districts only): $___
*Tuition (for private schools only): $_____
*Percentage on scholarship (for private schools only): ___%

Student Demographics

*White: __%
*Black/African American: _%
*Hispanic/Latino: _%
*Asian/Pacific Islander: _%
*Other racial/ethnic: ___%
*English Language Learners (ELL/ESL): ____%
*Special Education: ___%
*Students eligible for free or reduced lunch (for public schools, charter schools, districts): _____%

*Did your school (or district) make Adequate Yearly Progress (AYP) in 2011-12 (for public schools, charter schools, districts)?

If not, please explain [1500 characters max]:

Additional Information

*Year character education began:
*How did you hear about this program/application? Check all that apply (to the best of your knowledge):

__ This school (or district) has submitted an SSOC/NSOC application before.
__ This school (or district) has been named a State School of Character before.
__ This school (or district) has been named a National School of Character before.
__ Staff members from this school (or district) have applied for Promising Practices.
__ This school (or district) has received one or more Promising Practice awards.
   (For districts only:)
__ One or more schools within this district have submitted SSOC/NSOC applications before.
__ One or more schools within this district have been named State Schools of Character.
__ One or more schools within this district have been named National Schools of Character.

__ Staff members from one or more schools within this district have applied for
Promising Practices.
__ One or more schools within this district have received Promising Practices awards.

PART 2: OVERVIEW

Note that the information entered in this section will appear on CEP's website and in CEP publications for applicants named National Finalists.

Write a brief and compelling overview of your school (or district) and your character education journey. [1500 characters max]

Tip for Applicants: Questions to Consider

Describe your school setting and school demographics. What makes your school special or unique? What challenges do you face as a school community? How and why did you begin your character initiative? What is your character initiative trying to accomplish?

What have been your greatest obstacles? How were parents, teachers, and community members brought on board?

What texts, experts, programs, and/or resources have been key influences on your character initiative?

Please have your principal (or superintendent) or another character education leader in your building briefly respond to the following question. What advice would you have for those new to character education? [500 characters max] Name and title:

Attach a digital photo (.jpeg/.jpg file) that represents your character initiative in action – or one of your school. Be sure that if students appear in the photo that you have followed your school/district's release policies.

PART 3: IMPLEMENTATION OF THE 11 PRINCIPLES

Describe your implementation of each of the 11 Principles below and attach evidence to support your narrative explanations.

Narrative responses: Explain your accomplishments as they relate to each of the principles. Note that CEP reviewers understand that certain programs or strategies may "fit" under more than one principle and that you have limited space to describe your many programs. Thus, you do not need to repeat your explanations of such programs. Be sure to be specific and give examples whenever possible. Note that each principle has 3 or 4 scoring items. The Applicant Tips are intended to assist you in making sure

you have addressed all the key indicators of exemplary practice described under each scoring item.

Supporting evidence: Please limit your use of photos as evidence and be sure that any evidence that you reduce is not so small that evaluators cannot read it.

PRINCIPLE 1

Principle 1: The school community promotes core ethical and performance values as the foundation of good character. [2,000 characters max; 2,500 for districts]

Tip for Applicants: Questions to Consider

1.1 Stakeholders in the school community select or assent to a set of core values.
What are your core values? (You may call these pillars, virtues, traits, expectations, or a touchstone, for example.) How, when, why, and by whom were these selected and adopted? If they have been in place for some time or were selected at the district level, how do you revisit and reflect upon them?

1.2 Core ethical and performance values actively guide every aspect of life in the school.
Do students, staff, and parents use common language reflecting the school's core values? How is this common language taught and promoted? How do staff teach, model, and integrate the core values into all aspects of school life? Do core values guide the hiring practices and the orientation of new teaching and non-teaching staff?

1.3 The school community articulates its character-related goals and expectations through visible statements of its core ethical and performance values.
What is your school's mission? How are the core values made visible to your school community? How are what the core values "look like" and "sound like" in terms of observable behaviors? (For districts only): How do you incorporate core values in community and public relations efforts? How have you established core values as part of your vision, mission, goals, objectives, regulations, and policies?

Upload/attach one page of portfolio evidence to support your Principle 1 responses. File types permitted: .doc, .docx, .pdf, .ppt, .pptx, .pub, .xls, .xlsx. Note that only one file may be uploaded. Uploading a new file will over- write the first file.

Tip for Applicants: Examples of Evidence

Vision and/or mission statements, motto, touchstone

Visible statements or lists of core values in school building, on website, in student handbook/planner, discipline code, newsletters, etc.

Examples of how the core values are defined in terms of what they look/sound like

PRINCIPLE 2

Principle 2: The school defines "character" comprehensively to include thinking, feeling, and doing. [2,000 characters max; 2,500 for districts]

Tip for Applicants: Questions to Consider

2.1 The school helps students acquire a developmentally appropriate understanding of what the core values mean in everyday behavior and grasp the reasons why some behaviors (e.g., doing your best and respecting others) represent good character and their opposites do not.
How do staff help students understand the core values and how the core values can help them make good choices? How do students demonstrate this understanding?

2.2 The school helps students reflect upon the core values, appreciate them, desire to demonstrate them, and become committed to them.
How do staff help students become committed to core values? What opportunities do students have to reflect on the core values through discussions of real-life problems and situations? How do staff meet students' needs for safety, belonging, competence, and autonomy?

2.3 The school helps students practice the core values so that they become habitual patterns of behavior. How do staff encourage students to examine their own behavior in light of the core values and challenge them to make their behavior consistent with the core values? What practice in and feedback on academic and behavioral skills do students receive through everyday classroom operations? For example, do teachers conduct class meetings? If so, how many teachers use this strategy and how often? What opportunities do students have to practice the core values in the context of working with other students on class activities? For example, do teachers use cross-age buddies, peer mentors, cooperative learning, or other collaborative strategies?

Upload/attach one page of portfolio evidence to support your Principle 2 responses. . File types permitted: .doc, .docx, .pdf, .ppt, .pptx, .pub, .xls, .xlsx. Note that only one file may be uploaded. Uploading a new file will over-write the first file.

Tip for Applicants: Examples of Evidence

Evidence / examples of strategies being used that help students practice core values – such as class meetings, cross-age buddies, peer mentors, and cooperative learning

Evidence / examples of classroom routines and policies that help students understand and adopt core values

PRINCIPLE 3

Principle 3: The school uses a comprehensive, intentional, and proactive approach to character development. [2,000 characters max; 2,500 for districts]

Tip for Applicants: Questions to Consider

3.1 The school is intentional and proactive in addressing character at all grade levels.
Explain how individual teachers, grade-level teams, and the staff as a whole participate in planning for character education. What is your plan for character education? Is this a school or district level plan?
(For districts): How do you define character education and encourage schools to integrate it into all aspects of school life?

3.2 Character education is integrated into academic content and instruction.
How do teachers teach core values through their academic subjects and provide opportunities for students to discuss ethical issues? What examples can you give of lessons from teachers in diverse subject areas that explicitly include curricular integration of character?
(For districts): How is character education included in academic curriculum frameworks?

3.3 Character education is a priority in how teachers conduct their classes. How do classroom routines and procedures address student needs and demonstrate respect for students? How do they reflect and help develop core values?

3.4 Character education is infused throughout the school day in classes, sports, meetings, and co-curricular activities.
How do you communicate clear expectations of good character throughout the total school program (e.g., sports, clubs) and in all areas of the school (e.g., cafeteria, halls, playground, sports fields, library, buses)?

Upload/attach up to two pages of portfolio evidence to support your Principle 3 responses. . File types permitted: .doc, .docx, .pdf, .ppt, .pptx, .pub, .xls, .xlsx. Note that only one file may be uploaded. Uploading a new file will over-write the first file.

Tip for Applicants: Examples of Evidence

Character education plan, goals, or calendar

Lesson plans or curriculum frameworks that demonstrate curricular integration of character / core values

Expectations for behavior throughout the school that are tied to core values

PRINCIPLE 4

Principle 4: The school creates a caring community. [2,000 characters max; 2,500 for districts]

Tip for Applicants: Questions to Consider

4.1 The school makes it a high priority to foster caring attachments between students and staff.
Do students perceive staff as caring and report that they could go to an adult in the school with a problem? How do you know? Do staff attend school events? Which ones? Does the school encourage students and teachers to meet in small group settings such as class meetings or advisor-advisee periods? Do staff provide extra help in academic work and counsel or mentor students when needed?

4.2 The school makes it a high priority to help students form caring attachments to each other.
Do students perceive their peers as friendly and inclusive? How do you know? What educational strategies does the school use to encourage mutual respect among students?

4.3 The school takes steps to prevent peer cruelty and violence and deals with it effectively when it occurs. What anti-bullying strategies and/or programs do you use? What impact have they had? What activities, programs, and processes that promote tolerance, understanding, respect, and peace among students do you have? How do staff deal with and discourage peer abuse and encourage respect among students?

4.4 The school makes it a high priority to foster caring attachments among adults within the school community.
How are parents, community members, and guests made to feel welcome in the school? What efforts do staff make to form positive relationships with students' families? How do staff perceive the work environment? How are relationships nurtured among staff? How does the administration foster a collegial atmosphere? Explain the impact on staff morale and teacher turnover. (For districts): How do staff at the district level make efforts to develop caring and respectful relationships among themselves, with staff at the school level, and in the broader community?

Upload/attach one page of portfolio evidence to support your Principle 4 responses. File types permitted: .doc, .docx, .pdf, .ppt, .pptx, .pub, .xls, .xlsx. Note that only one file may be uploaded. Uploading a new file will over- write the first file.

Tip for Applicants: Examples of Evidence

Evidence / examples of strategies that form good relationships between staff and students (e.g. mentoring, advisories, tutoring)

Evidence / examples of staff interacting with students outside of the classroom (e.g. school/community events, mentoring/tutoring)

Evidence / examples of programs or strategies being used to build positive relationships among students (e.g.tolerance programs, anti-bullying strategies, class meetings, advisories, conflict resolution strategies)

Evidence / examples of ways adults in the school community are brought together (e.g. staff gatherings and celebrations, school events, home visits)

PRINCIPLE 5

Principle 5: The school provides students with opportunities for moral action. [2,000 characters max; 2,500 for districts]

Tip for Applicants: Questions to Consider

5.1 The school sets clear expectations for students to engage in actions that develop and demonstrate good character.
What are your expectations regarding service learning? How are your expectations for peaceful conflict resolution, academic integrity, good sportsmanship, and service to others taught? How can you be sure students know these expectations and that students and staff take responsibility for these expectations? How many students participated in service learning activities during the 2010-11 school year? (For districts): How do you promote service learning, train teachers, and make it clear that service learning includes student voice and choice, integration into the curriculum, and student reflection?

5.2 The school provides all students with varied opportunities for engaging in positive, responsible action within the school, and students engage in these opportunities and reflect on them.
Describe the opportunities students have for service within the school and to engage in projects to practice and/or advance conflict resolution, ethical decision-making, and academic integrity? How many students have, take advantage of, and benefit from

these opportunities? How do teachers connect such service to the curriculum and core values (service learning)?

5.3 The school provides all students with repeated and varied opportunities for making contributions to the larger community, and students engage in these opportunities and reflect on them.

What opportunities do students have to participate in service learning projects that contribute to the larger community? How many students have, take advantage of, and benefit from these opportunities? How do teachers connect community service with the curriculum and core values, creating service learning experiences? Do you enable students to assess community needs, create ideas for meeting those needs, plan and coordinate service learning projects, and reflect on the positive consequences of community service?

Upload/attach one page of portfolio evidence to support your Principle 5 responses. File types permitted: .doc, .docx, .pdf, .ppt, .pptx, .pub, .xls, .xlsx. Note that only one file may be uploaded. Uploading a new file will over- write the first file.

Tip for Applicants: Examples of Evidence

Service learning calendar of events / opportunities Conflict resolution / peer mediation strategies, trainings Sportsmanship policies Academic integrity policies / expectations

Evidence / examples of students serving the school (e.g., buddies, school beautification, leadership groups, peer mediators)

Evidence / examples of students serving the wider community (e.g., elderly, needy, veterans, animals, environment)

Evidence that demonstrates how service projects allow students to identify community needs, plan/organize projects, and reflect on outcomes.

Evidence that service projects are tied to content/curriculum

PRINCIPLE 6

Principle 6: The school offers a meaningful and challenging academic curriculum that respects all learners, develops their character, and helps them to succeed. [2,000 characters max; 2,500 for districts]

Tip for Applicants: Questions to Consider

6.1 The academic curriculum provides meaningful and appropriate challenges to all students.

Explain ways teachers provide all students with opportunities to interact with academic content in engaging, hands-on, appropriate ways. How do you know students are excited about learning and feel challenged? How do you know parents feel their children are appropriately challenged? How does the school community encourage students to seek mastery of content and skills? How does instruction increase students' sense of competence and emphasizes student autonomy?

6.2 The school staff identifies, understands, and accommodates the diverse interests, cultures, and learning needs of all students.

Explain how staff engage in ongoing identification of response to students' learning needs and cultural differences. What efforts are made to differentiate instruction? How do you know your efforts are effective? How do staff challenge and help all students do high-quality work and strive for continuous improvement? What achievement gaps between diverse student subgroups exist? What active steps are you taking to eliminate such gaps?

6.3 Teachers promote the development of performance character traits that support students' intellectual growth, academic performance, and capacity for both self-direction and teamwork.

How do teachers promote thinking habits that lead to intellectual growth in students? Explain how students set goals and are aware of their growth as learners. How do teachers promote work-related habits that help students do their best work? How do teachers promote social habits that help students work together harmoniously?

Upload/attach one page of portfolio evidence to support your Principle 6 responses. File types permitted: .doc, .docx, .pdf, .ppt, .pptx, .pub, .xls, .xlsx. Note that only one file may be uploaded. Uploading a new file will over- write the first file.

Tip for Applicants: Examples of Evidence

Examples of challenging, hands-on lessons and projects
Examples of differentiated instruction
Examples of sensitivity to cultural differences
Programs and strategies being used to address achievement gap issues
Strategies being used to help students set and reach goals 8 Character Education Partnership
Examples of students having "voice and choice" in the classroom

PRINCIPLE 7
Principle 7: The school fosters students' self-motivation. [2,000 characters max; 2,500 for districts]

Tip for Applicants: Questions to Consider

7.1 Staff and students recognize and celebrate the natural, beneficial consequences of acts of character rather than rewarding students with material recognition or rewards.

How are students helped to understand on a personal level what it means to be self-motivated and why it is important? How have staff addressed the question of intrinsic versus extrinsic motivation? Have they reflected on whether their practices develop self-motivation? Have they sought agreement on a shared philosophy regarding praise, rewards, and punishment? Are students are recognized for good behavior or displaying core values? If so, how? How do classroom management strategies promote doing the right thing because it's the right thing to do? What methods of academic instruction enable students to produce work of which they should be proud? Does your school integrate PBIS (Positive Behavioral Intervention and Support) with character education? If so, how does this works in your school setting? Do staff and students recognize and express positive comments to each other as part of the everyday life of the school?
(For districts): Do you use their public relations programs to focus attention on outstanding acts of good character?

7.2 The school's approach to student conduct uses all aspects of behavior management—including rule-setting and rule-enforcement—as opportunities to foster students' character development, especially their understanding of and commitment to core values.

What is your school's approach to behavior management and discipline? How is this approach connected to the core values? How are staff trained in developmentally appropriate forms of classroom management? How does the discipline code use explanation, discussion, and natural and logical consequences in ways that help students learn from their mistakes and move forward? What role do students have in classroom management and school governance?

Upload/attach one page of portfolio evidence to support your Principle 7 responses. File types permitted: .doc, .docx, .pdf, .ppt, .pptx, .pub, .xls, .xlsx. Note that only one file may be uploaded. Uploading a new file will over- write the first file.

Tip for Applicants: Examples of Evidence
Behavior management / positive discipline strategies and policies
Opportunities for students to reflect on their choices in light of core values (e.g. Think Sheets)
Examples of staff development / training / discussions on topics such as behavior/classroom management and motivation

PRINCIPLE 8

Principle 8: The school staff is an ethical learning community that shares responsibility for character education and adheres to the same core values that guide the students. [2,000 characters max; 2,500 for districts]

Tip for Applicants: Questions to Consider

8.1 Staff model the core values in their interactions with students and each other, and students and parents perceive that they do.
How do staff model core values in their interactions with students? How do they demonstrate respectful and supportive behavior? Do they see themselves as models for students? Do students and their parents view staff as models? How do you know?

8.2 The school includes all staff in planning, receiving staff development for, and carrying out the schoolwide character education initiative.
Do all professional and support staff receive training and information on their role in the character education initiative? Do administrators, teachers, and counselors receive ongoing staff development? What recent professional development activities related to character development and opportunities for sharing have staff had? Do all staff have opportunities to be involved in character education planning and implementation? Are teachers, administrators, and counselors substantially involved? (For districts): Does the district train teachers, principals, and other school personnel in character education and social-emotional learning on a recurring basis? Do you train new teachers and provide funding for staff planning, training, and attending conferences
on character education.

8.3 The school makes time available for staff planning and reflection in regard to character education.
How is character education included in faculty meetings and in-service days? Is release time provided for staff to develop promising ideas, plan events, and reflect? If not, how are staff able to plan and reflect? How and when do teachers use core values to reflect on their own behaviors and procedures?
(For districts): How do you encourage sharing information on best practices? Do you provide venues for collaboration among schools? A centralized source of materials, curricula, and other tools? Sponsor regular conferences or meetings on character education?

Upload/attach one page of portfolio evidence to support your Principle 8 responses. File types permitted: .doc, .docx, .pdf, .ppt, .pptx, .pub, .xls, .xlsx. Note that only one file may be uploaded. Uploading a new file will over- write the first file.

Tip for Applicants: Examples of Evidence

Evidence of staff modeling of core values
Examples of / agendas from staff development /training
Faculty meeting agendas that show commitment to character education
Examples of resources provided to staff/faculty

PRINCIPLE 9

Principle 9: The school fosters shared leadership and long-range support of the character education initiative. [2,000 characters max; 2,500 for districts]

Tip for Applicants: Questions to Consider

9.1 The school's character education initiative has leaders, including the school principal, who champion character education efforts, share leadership, and provide long-range support.

What role does the principal play in championing the character effort? What would happen if the principal left? How do school leaders show their support for the long-range survival and growth of the character initiative? If you see your school or district as a leader in helping others schools with their character education efforts or if you have outreach plans, describe your leadership efforts.
(For districts): Do the school board and superintendent support the character initiative? How do they demonstrate this support? How are district and school leaders encouraged to incorporate character education into their work?

9.2 A leadership group or structure (several linked groups) inclusive of staff, students, and parents guides the ongoing planning and implementation of the character education initiative and encourages the involvement of the whole school in character-related activities.
What group or structure guides character education strategic planning and implementation? Who is a part of this group? How often does this group meet? How do they plan? How do they get input from stakeholders? How do the school's regular governing mechanisms assume responsibility for management of character- related policies and plans?
(For districts): What group or structure guides the planning and implementation of district-wide character education efforts? Who is included in this group or committee?

9.3 Students are explicitly involved in creating and maintaining a sense of community and in other leadership roles that contribute to the character education effort.
What role do students have in creating and maintaining standards of behavior? What leadership roles and responsibilities do they have within the classroom and school

community? Do they value the leadership roles available to them and see themselves as contributing members of the wider community? How do you know?

Upload/attach one page of portfolio evidence to support your Principle 9 responses. File types permitted: .doc, .docx, .pdf, .ppt, .pptx, .pub, .xls, .xlsx. Note that only one file may be uploaded. Uploading a new file will over- write the first file.

Tip for Applicants: Examples of Evidence

Character education committee (or other committee or structure) plans, goals, meeting minutes, membership
Examples of staff and student leadership
Outreach efforts and plans, evidence of leadership in the field of character education (e.g., in-services, workshops, visits hosted)

PRINCIPLE 10

Principle 10: The school engages families and community members as partners in the character-building effort. [2,000 characters max; 2,500 for districts]

Tip for Applicants: Questions to Consider

10.1 The school engages families in the character education initiative.
Do parents serve in character education leadership roles? Are they actively involved in carrying the character initiative to the parent-teacher organization and parent community? Are families aware of and supportive of the initiative? How do you know? Do you offer workshops and resources on character education and general parenting skills? How do parents contribute to school and classroom activities beyond fundraising? How does the school reach out to and welcome all parents?

10.2 The administration and faculty regularly communicate with parents and guardians, providing suggestions and activities that help them reinforce the core values, and they survey parents, both formally and informally, on the effectiveness of the school's character education efforts.
How do you communicate with families about your character education efforts? How do you solicit input from families? How do you welcome new families to the school and orient them to the school's character education mission?

10.3 The school recruits the help of the wider community.
Do community members serve in character education leadership roles? Are they actively involved in carrying the character initiative to the larger community? Are community members aware of and supportive of the initiative? How do you know? Do community members volunteer in the school and participate in school and classroom events?

(For districts): How does the district engage a broad spectrum of the community in its character education initiative? How does it involve appropriate local government agencies, youth-serving organizations, and the business community?

Upload/attach one page of portfolio evidence to support your Principle 10 responses. File types permitted: .doc, .docx, .pdf, .ppt, .pptx, .pub, .xls, .xlsx. Note that only one file may be uploaded. Uploading a new file will over-write the first file.

Tip for Applicants: Examples of Evidence

Examples of communicating with parents (e.g. newsletters, phone, e-mail, website) Examples of receiving communications from parents (e.g. surveys, meetings, informal chats) Parent workshops and resources offered to families

Efforts/activities to welcome new families
Examples of parent and community member leadership and involvement
Volunteer opportunities for parents and community members
Evidence of partnerships with local community organizations and businesses

PRINCIPLE 11

Principle 11: The school regularly assesses its culture and climate, the functioning of its staff as character educators, and the extent to which its students manifest good character. Be sure in your narrative response and attached evidence for this principle that you clearly demonstrate the impact of character education on student academic achievement, student behavior, and school culture/climate. Be sure to provide specific quantitative and qualitative evidence. Use numbers rather than percentages when reporting changes in student behavior. The narrative and supporting evidence combined should demonstrate that your community has gathered data, reflected on it, and then acted as needed. [2,500 characters max; 3,000 for districts]

Tip for Applicants: Questions to Consider

11.1 The school sets goals and regularly assesses (both quantitatively and qualitatively) its culture, climate, and functioning as an ethical learning community.
How do you assess your character initiative? What data and input do you gather? How do you use data to make changes and improvements to the character education initiative?
(For districts): Does the district arrange for and finance assessment of the district's character education initiative?

11.2 Staff members reflect upon and report on their efforts to implement character education, as well as on their growth as character educators.
What feedback do teachers gather from their students on their perceptions of character-related activities and the extent to which teachers are modeling the core values? How do staff report to each other and to stakeholders on their efforts to meet character education goals? What opportunities do staff have to examine and reflect on data?
(For districts): Is implementation of character education built into the assessment of school principals? Are principals asked to build integration of character education into their assessments of school staff?

11.3 The school assesses student progress in developing an understanding of and a commitment to good character and the degree to which students act upon the core values.
What approaches do you use to assess student progress in the area of character development? What data collected on student behavior demonstrates student growth in the understanding of and commitment to good character?

Upload/attach up to 4 pages of portfolio evidence to support your Principle 11 responses. File types permitted: .doc, .docx, .pdf, .ppt, .pptx, .pub, .xls, .xlsx. Note that only one file may be uploaded. Uploading a new file will over-write the first file.

Tip for Applicants: Examples of Evidence

WHENEVER POSSIBLE, SHOW POSITIVE CHANGES SINCE THE IMPLEMENTATION OF CHARACTER EDUCATION State test scores
Other evidence of academic achievement (e.g. grades, honor roll, course failures, homework compliance, students taking advanced courses, graduates attending college)
Daily attendance rates Suspension rates Referral rates
Dropout and graduation rates
Climate survey results (especially that show that bullying is infrequent and/or that students feel safe, students respect each other, teachers and students respect each other, and parents and teachers respect each other) Examples of changes made after gathering and reflecting on data

Additional Tip for Applicants: Academic Integrity

Academic dishonesty refers to cheating, plagiarism, and the improper use of technology. Academic integrity runs throughout the 11 Principles (see Principles 3.2, 3.3, 5.1, 5.2, 6.3, 7.2, 11.1). Be sure that somewhere in your narrative explanation of the 11 Principles that you have described your expectations and policies regarding academic integrity, how these are communicated to students, and how you know your efforts are working. Consider: What policies and procedures support academic integrity (e.g., lessons on proper citation of sources

and plagiarism, testing strategies to resist cheating, honor pledges or honor codes, and honor committees or courts)? How do teachers promote the importance of academic integrity (doing one's own work, giving proper credit) in the completion of work? How do teachers discuss academic integrity with students? What data do you gather on academic dishonesty?

PART 4: 11 PRINCIPLES SELF EVALUATION

Please enter the average scores from your school or district's Stakeholders' Self-Assessment. To learn more about how to conduct this self-assessment, refer to the 11 Principles Scoring Guide on the inside back cover of the 11 Principles of Effective Character Education document (page 27 of the PDF).

	Item 1	Item 2	Item 3	Item 4	Average
Principle #1					#DIV/0!
Principle #2					#DIV/0!
Principle #3					#DIV/0!
Principle #4					#DIV/0!
Principle #5					#DIV/0!
Principle #6					#DIV/0!
Principle #7					#DIV/0!
Principle #8					#DIV/0!
Principle #9					#DIV/0!
Principle #10					#DIV/0!
Principle #11					#DIV/0!
Total (average of each line divided by					**#DIV/0!**

If you have applied for SSOC/NSOC recognition in the past and received feedback from your state sponsor or CEP, please describe what steps you have taken since that last application to address any areas for growth noted in your feedback. [1,500 characters max]

SUBMITTING YOUR APPLICATION

Once you save and continue after Part 4, you will have the option to "Submit Application" or "Save and Close." Press "Save and Close" if you'd like to log back in to edit your application. You will be allowed to do so until December 3, 2012. Press "Submit Application" only if you do not need to make any updates or changes to your application. By pressing "Submit Application" you will no longer be able to access your application.

Once you submit this application the main contact listed in your application should receive a confirmation of receipt by e-mail.

PART 5: ADDITIONAL EVIDENCE FROM FINALISTS

If you are named a National Finalist, you will be asked to log back into your application and submit additional supporting evidence within two weeks. You may wish to start gathering this evidence in advance, especially since it can be woven into your original application, strengthening it greatly.

IMPACT AND SUPPORTING EVIDENCE

Describe the overall impact of your character education initiative on academic achievement, student behavior, and school culture. What are you most proud of? [2,500 characters max]

Academics

If your students DO take state tests, please provide the data below. Categories included in pass rates in your state (proficient, advanced, etc.)

Name of state test given in Reading/Communication Arts/English Language Arts and grade levels tested and included in results below

Percentage of students passing in reading/language arts for the following years

> 2007-2008   2008-2009   2009-2010   2010-2011   2011-2012

Name of state test given in math and grade levels tested and included in results below

Percentage of students passing in math for the following years

> 2007-2008   2008-2009   2009-2010   2010-2011   2011-2012

If you feel any of this data requires additional explanation, please do so here. [1500 characters max]

If your students DO NOT take state tests, please explain how you know character education and improved school climate are positively impacting student academic achievement at your school. [1500 characters max]

Describe any achievement gap issues you face and how you are addressing the needs of underperforming sub- groups and/or at-risk students. Be sure to explain any gains these students have made since the implementation of character education. Be specific. [1500 characters max]

What other evidence do you have of increased (or very high) academic achievement? (grades, honor roll, course failures, homework compliance, students taking advanced courses, etc.) [2500 characters max]

Behavior

Daily attendance rate
    2009-2010   2010-2011   2011-2012

Number of out-of-school suspensions
    2009-2010   2010-2011   2011-2012

Number of disciplinary referrals
    2009-2010   2010-2011   2011-2012 (For high schools and districts only)

Drop-out rate

Graduation rate

Percentage of 2012 high school graduates going on to 2- or 4-year colleges

If you feel any of the behavioral data entered above requires additional explanation, please do so here. [500 characters max]

Culture/Climate

Note to 2013 Applicants: CEP is exploring the option of offering Finalists an online climate survey for stakeholders. If we are able to pilot this option in 2013, there may be changes to this section of the application.

Applicants are strongly encouraged to give climate surveys to stakeholders. If you DO NOT give climate surveys to your students, staff, and parents, please explain how you know your school culture and climate are improving. [1500 characters max]

If you DO give climate surveys, please give results below. You are only required to enter data for one of the years shown below (the year during which your most recent survey was taken). However, if you give annual surveys, please complete all three years in order to show growth.

Survey results show:

Bullying is infrequent or students feel safe
    Name of survey and specific question or category of questions on your survey

    Grade level(s) of students responding

Student responses (mean or percentage)
2009-2010   2010-2011   2011-2012

Students respect each other
Name of survey and specific question or category of questions on your survey

Grade level(s) of students responding

Student responses (mean or percentage)
2009-2010   2010-2011   2011-2012

Teachers and students respect each other
Name of survey and specific question or category of questions on your survey

Grade level(s) of students responding

Student responses (mean or percentage)
2009-2010   2010-2011   2011-2012

Parents and teachers respect each other
Name of survey and specific question or category of questions on your survey

Grade level(s) of students responding

Student responses (mean or percentage)
2009-2010   2010-2011   2011-2012

If you feel these climate survey results require any additional explanation, please do so here. [1500 characters max]

PHOTOS
Please upload 5 high-quality digital photos (.jpg/.jpeg files) that show your character program in action. Include captions or descriptions of each. If including photos of students (which CEP hopes you will), be sure you have followed your school/district's photo release policies since should you be named a National Finalist or an NSOC these photos may appear online or in CEP publications.

Photo 1: Caption/description:

Photo 2: Caption/description:

Photo 3: Caption/description:

Photo 4: Caption/description:

Photo 5: Caption/description:

TESTIMONIALS
Please provide testimonials from one member of each key stakeholder group.

Teacher
Name and position:
What have been the greatest changes in your school's culture/climate since the implementation of character
education? [500 characters max]

Non-teaching staff member
Name and position:
How are all staff members involved in character education at your school? [500 characters max]

Student
First name only and current grade:
What do you like best about your school? [500 characters max]

Parent
Name:
Describe the staff. Do they welcome you? Respect you and your child? Know your child? [500 characters max]

Community member
Name and title or position:
What is the role of the school in the community? [500 characters max]

LESSON PLAN

Include one lesson plan currently being taught in your school that demonstrates integration of character education and academics and showcases your school's best practices. Note that if your school/district is selected as an NSOC, this lesson plan may appear on CEP's website as a free resource for other educators.

Title
State a brief title for the lesson.

Connections to CEP's 11 Principles
Identify the principle best exemplified in this lesson. Select from the following (check boxes):
Promotes core values (Principles 1, 2, 3)
Helps create a caring school community (Principle 4)

Provides students with opportunities for moral action (Principle 5)

Challenges and respects all learners (Principle 6)
Develops students' self-motivation (Principle 7)
Engages the staff as a learning and moral
community (Principle 8) Fosters shared moral
leadership (Principle 9)
Engages families and community members as partners (Principle 10)
Assesses the character of the school (Principle 11)

Note that it is possible to include staff development activities. In such cases the "students" would be teachers/staff members.

Connections to Core Values
List the values or character traits emphasized in the lesson, such as respect or responsibility.

Estimated Time
Give the time needed to complete this lesson.

Grade Level
State the grade level(s) for which this lesson is appropriate.

Lesson Objectives
List the objectives for students. What will students be able to do as a result of having participated in this lesson? Begin each objective with "Students will . . ."

Overview
Give a brief description of the lesson. Include any background information necessary for teachers to complete the lesson as well as the purpose of the lesson and any curricular connections that can be made.

Materials Needed
List the materials teachers will need to have available in order to complete this lesson.

Procedures
List the steps teachers should take with their students. Be sure to include opening discussions, activities and strategies to be used in class, any work to be completed outside of class, and closing/reflection/review.

Assessment
Provide suggestions for how teachers shall determine if the objectives have been met.

Extensions and Adaptations
Suggest ways teachers may extend the lesson or adapt it to meet the differentiated learning needs of their students.

National Standards
List any national standards addressed in this lesson. (Example: NCSS Thematic Strand 10 – Civic Ideals and
Practices)

Related Links and Resources
List any resources from respected sources that would be helpful to teachers. Give the complete URL addresses of any Web sites recommended.

Credit
Give the author's name, position, and school/district.

Teacher and Student Handouts
Upload any reproducible handouts that are part of the lesson.

Appendix C Letters of Support for Research

SUNY Cortland

Center for the 4ᵗʰ and 5ᵗʰ Rs
Respect and Responsibility

May 20, 2013

To Whom It May Concern:

I am writing to ask you to kindly consider supporting Jacob Francom's important dissertation research on the role of school leaders in character education.

Those whose have studied character education, and those who have worked in the trenches to implement it, agree that quality programs depend on quality leadership. And yet we know far too little about what it is that school leaders do—day to day, year to year—to start, sustain, and strengthen successful character education initiatives.

It's for that reason that I'm excited about the dissertation study that Jacob Francom is undertaking to investigate, describe, and analyze the role that high school leaders have played in award-winning character education programs.

I can think of no research topic that has more potential to benefit the national and international character education movement. I've had the pleasure of communicating with Jacob as he has thoughtfully developed the design of his study. Many thanks for whatever you can do to help him advance our shared knowledge of this vital dimension of fostering the character development of our young.

Kind regards,

Thomas Lickona, Ph.D.
Emeritus Professor
Director, Center for the 4th and 5th Rs (Respect and Responsibility)
State University of New York at Cortland

Cornish Hall, Room 1307 • P.O. Box 2000 • Cortland, NY 13045-0900
Phone: (607) 753-2455 • Fax: (607) 753-5980

Character Education Partnership
1025 Connecticut Ave NW Suite 1011
Washington, DC 20036

June 24, 2013

To Whom It May Concern:

I am writing to ask you to kindly consider supporting Jacob Francom's important dissertation research on the role of school leaders in character education.

As a former school leader and school superintendent for ten years, I know how important leadership is to successful implementation of a quality character education program. Knowing more about exactly how successful leaders transform their school social climate and culture to create the environment necessary to develop the character of students is much needed. So little research has been done in this area.

I am very interested in collaborating and then learning the results of Jacob Francom's dissertation study on this subject. CEPs National Schools of Character program is a one of a kind and there has been no research that focuses on this important aspect of the work that goes into winning this prestigious recognition. Jacob Francom is undertaking to investigate, describe, and analyze the role that high school leaders have played in award-winning character education programs.

This research topic has much potential to benefit the national and international character education movement. Many thanks for whatever you can do to help him advance our shared knowledge of this vital dimension of fostering the character development of our young people.

Sincerely,

Mark Hyatt
President & CEO

Appendix D List of National High Schools of Character

	NSOC High Schools	Year Awarded NSOC
1	Pattonville High School Maryland Heights, MO	1998
2	South Carroll High School Sykesville, MD	2000
3	Eleanor Roosevelt High School Greenbelt, MD	2002
4	Malcolm Shabazz City High School Madison, WI	2002
5	Quest Early College High School Houston, TX	2002
6	Scarsdale Alternative High School Scarsdale, New York	2002
7	St. Genevieve High School Panorama, CA School of Character in 2003	2003
8	Amador Valley High School Pleasanton, CA	2004
9	Cranford High School Cranford, NJ	2004
10	Yorktown High School Arlington, VA	2004
11	Boys Town High School Boys Town, NE	2007
12	Sacred Hearts Academy Honolulu, HI	2007
13	Hinsdale Central High School Hinsdale, IL	2008
14	Seckman High School Imperial, MO	2010
15	Sentinel Career Center Tiffin, Ohio	2010
16	Lindbergh High School St. Louis, MO	2011
17	Muskogee High School Muskogee, OK	2011
18	South Brunswick High School Monmouth Junction, NJ	2011

19	Eagle Rock School Estes Park, CO	2012
20	Northview High School Florissant, MO	2012
21	Hanover Park High School (Hanover Park Regional High School District) East Hanover, NJ	2013
22	Jefferson City Academic Center (9-12) Jefferson City, MO	2013
23	Mehlville High School (9-12) Saint Louis, MO	2013
24	Rougher Alternative Academy (7-12) Muskogee, OK	2013
25	Whippany Park High School (Hanover Park Regional High School District) East Hanover, NJ	2013

Appendix E Interview Protocol

INTERVIEW PROTOCOL

Date: _____

Time: _____ ☐ a.m. / ☐ p.m.

Male: ☐   Female: ☐

Age: _____

Participant Code: _____

Position: _____

Time employed in Organization: _____

OPENING STATEMENTS:

Thank you for agreeing to take time from your busy schedule to participate in this research study. There are a few things that I would like to make sure you understand before we get started.

- I will be asking you some general questions and writing notes as we proceed.

- All information from this interview will be confidential. That is, you will not be identified by name, location, or place of employment in this study or in any report from this study.

- You will only be identified as "V" in these notes. A confidential participant code will be used to identify you for any follow up questions.

- No direct quotes from you will be used in the study without your prior permission. When quoted your identity, location, age, and place of employment, will remain confidential.

- Your name and place of employment will only be known by this researcher and Dr. Patty Kero, Professor at The University of Montana and Chair of this dissertation committee and oversees all aspects of this research study.

- The confidentiality of your name and place of employment is also under the purview of the Institutional Review Board at The University of Montana.

- You may stop this interview at any time without any negative consequences.

Please be assured that there are no correct answers to the questions that I will be asking. What is important, are your thoughts, feelings, and experiences. The intent of this interview is to gather your thoughts, feelings, and experiences, not to make judgments on your responses.

INTERVIEW QUESTIONS

A. BACKGROUND INFORMATION

1. Describe your experience as an educator.

2. Tell me about your educational philosophy.

3. Describe your experience involved with character education.

4. Describe your personal values and morals.

5. How would your staff and colleagues describe your leadership style?

6. Tell me about the character education initiative in your school.

B. DEVELOPMENT OF A CHARACTER EDUCATION INITIATIVE

1. Tell me about the process of getting the character education initiative started. Describe your role during this time.

2. Describe the process of how you built support to incorporate a character education initiative.

3. Describe the obstacles in implementing a character education initiative and how they were overcome.

C. IMPLEMENTING A CHARACTER EDUCATION INITIATIVE

1. Describe how you led your staff in the character education program.

2. Describe some specific things that you did to ensure the success of the character education initiative.

3. What methods have you used to gain support from school stakeholders?

4. Describe what you have done to ensure that character education is part of the day to day instruction in classes.

5. Describe what you have done to ensure that character education is infused into the school climate and culture.

D. SUSTAINING OF A CHARACTER EDUCATION INITIATIVE

1. Describe what you have done to help sustain the character education initiative.

2. Describe the obstacles overcome in sustaining the character education initiative.

3. Describe how you have sustained the support for the character education initiative.

E. POSSIBLE FOLLOW-UP QUESTIONS

1. What advice would you give to a high school principal considering implementing a character education initiative?

2. What kind of a timeline would you give to a high school principal considering implementing a character education initiative?

3. Describe what you have done as a leader to gain this recognition as a NSOC.

4. Describe why you first considered a character education program.

5. Describe the character education training that you have participated in or any ongoing that you are a part of.

6. Tell me about your current school improvement plan as it relates to character education.

Appendix F Participant Information and Consent Form

PARTICIPANT INFORMATION & CONSENT FORM

STUDY TITLE: What High School Principals Do to Develop, Implement, and Sustain a High Functioning Character Education Initiative

PROJECT DIRECTOR: Jacob Francom
PO Box 297
Troy, MT 59935
(406) 293-1080

PURPOSE:

You are being asked to take part in a research study examining what role a principal plays in developing, leading and sustaining a character education program.

You have been chosen because under your direction your school has been recognized by the Character Education Partnership and has been awarded the National School of Character Award

PROCEDURES:

- If you agree to be a participant in this study you will be asked to engage in a sixty minute face-to-face, phone, or by Skype interview with Jacob Francom.
- You will be asked a variety of questions detailing your experiences and role in your school's character education initiative.
- A detailed analysis will be done of the data provided through your interviews.
- You may also present other documents or artifacts related to your school character education program which might offer significant insight into your experience.
- The interview will be audio recorded, transcribed, and the recording destroyed.
- Quotations from the participants will be used in the study, but the name of the quoted participant will not be cited.

RISKS/DISCOMFORTS:

There is no anticipated discomfort for those contributing to this study, so risk to participants is minimal.

BENEFITS:

- Although you may not directly benefit from taking part in this study, the contribution you make may help educators, policy makers, and others as they implement character education initiatives.
- Participation may bring a deeper understanding of the effective practices or failures you encountered as you implemented and led a character education initiative.

CONFIDENTIALITY:
- Any data compiled during the interview will be kept private and will not be released without consent except as required by law.
- Your identity will be kept confidential.

VOLUNTARY PARTICIPATION/WITHDRAWAL:
- Your decision to take part in this research study is entirely voluntary.
- You may refuse to take part in the study, withdraw any time or skip any question that you are not comfortable with.

FOR QUESTIONS:

If you have any questions about the research now or during the study contact: Jacob Francom (406) 293 1080 or the Dissertation Supervisor, Dr. Patty Kero at (406) 243 5623.

If you have any questions regarding your rights as a research participant, you may contact the Chair of the IRB through The University of Montana Research Office at 406-243-6670.

PARTICIPANT'S STATEMENT OF CONSENT & PERMISSION TO USE QUOTATIONS:

I have read the above description of this research study. I have been informed of the risks and benefits involved, and all my questions have been answered to my satisfaction. Furthermore, I have been assured that any future questions I may have will also be answered by a member of the research team. I voluntarily agree to take part in this study and grant permission for Jacob Francom to utilize quotations by me to be reported in his research study on the principal's role in a character education program and any subsequent publications resulting from said study. I understand I will receive a copy of this consent form.

Printed (Typed) Name of Subject: _____

_____   _____

Subject's Signature   Date