

THE RELATIONSHIP OF EMOTIONAL INTELLIGENCE
AND SELF-EFFICACY OF FIRST AND SECOND YEAR PRINCIPALS
IN MISSOURI

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Doctor of Education

by
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THE RELATIONSHIP OF EMOTIONAL INTELLIGENCE AND SELF-EFFICACY
OF FIRST AND SECOND YEAR PRINCIPALS IN MISSOURI

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A candidate for the degree of Doctor of Education, and hereby certify that, in their opinion, it is worthy of acceptance.

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DEDICATION

Don F. Ream

December 7, 1933 – May 10, 2007

Father, Mentor, Coach

I have completed this project after the death of my father.

I know that his Spirit has been

with me through the process

and the finalization of this project is because of his presence.

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ABSTRACT

The study examined the relationship between emotional intelligence and self-efficacy of first and second year principals. Factors of emotional intelligence and the competencies of self-efficacy were investigated to determine the levels of first and second year principals. The relationship between the factors and competencies was also investigated with first and second year principals. Seventy-five first and second year principals participated in the quantitative study by completing a demographic survey, the Assessing Emotions Scale (AES) and the Principal Sense of Efficacy Scale (PSES).

Findings in the study indicate that there is no significant relationship between first and second year principals of each factor of emotional intelligence and the competencies of self-efficacy. There is, however, a moderate positive correlation between emotional intelligence and self-efficacy of first and second year principals. Results indicate that first and second year principals scored at average levels of both emotional intelligence assessments and self-efficacy competencies. The lower averages of emotional intelligence sub-scales and self-efficacy competencies point to the need for principal preparation programs, mentoring programs, and professional development centers to enhance the leadership of principals by investing in training for emotional intelligence and self-efficacy.

CHAPTER ONE

INTRODUCTION TO THE STUDY

Background

Emotional Intelligence was first described by Peter Salovey of Yale University and Jack Mayer of the University of New Hampshire while each was searching for factors of what is important to functioning in society. Salovey and Mayer described emotional intelligence as a “form of social intelligence that involves the ability to monitor one’s own and others feelings and emotions, to discriminate among them, and use this information to guide one’s thinking and action” (1990, p.189). Daniel Goleman (1995) brought the theory of emotional intelligence to the public in his book, *Emotional Intelligence*. Much of Goleman’s emotional intelligence research was directed toward the business world and business leaders. Goleman (1998a) specifically stated that effective leaders are alike in one crucial way: they all have a high degree of what has come to be known as *emotional intelligence*, or the sine qua non of leadership. Intelligent quotient and technical skills are known as “threshold capabilities,” or entry level requirements for executive positions and leaders; however, being perceptive, having an analytical mind, and an endless supply of smart ideas do not make a great leader (Goleman, 1998a).

The emergence of emotional intelligence has changed traditional views of what it takes to be an effective leader. Goleman’s (2000) research found that high levels of emotional intelligence create climates in which information sharing, trust, healthy risk-taking, and learning flourish. Emotional intelligence competencies are not innate talents, but learned abilities, each of which has a unique contribution to making leaders more

resonant and, therefore, more effective (Goleman, Boyatzis, & McKee, 2002). Leaders are attuned to other people's feelings and move them in a positive emotional direction. A resonant leader, one who can inspire, motivate, arouse commitment and sustain it, will constantly strengthen and fine-tune his/her emotional intelligence competencies and move fluidly between different leadership styles, flexing to meet the needs of the situation (Dearborn, 2002).

New school leaders are in a crucial position to develop, maintain, and reform an effective school (Hausman, Crow, Sperry, 2000). To maintain an effective school, a new school leader must have a certain degree of emotional intelligence in order to survive the first years of leadership, which can be a major undertaking. This is especially true when new leaders must learn to take charge of their emotions before emotions take charge of them (Lovely, 2004). Bloom (2004) wrote that new leaders have brains, determination, knowledge, and technical skills, but can lack in style and people skills. Emotional intelligence is vital in any work setting, but is paramount to survive the principalship because emotional intelligence functions as the pre-eminent barometer of achievement for school leaders (Lovely, 2004).

Another important attribute of effective principals is self-efficacy. Bandura (1994) defined perceived self-efficacy as "people's beliefs about their capabilities to produce designated levels of performance that exercise influence over events that affect their lives" (p. 71). People with a strong sense of self-efficacy have several positive attributes including having a high assurance in their capabilities to approach difficult tasks, staying involved in activities, setting challenging goals and maintaining a strong commitment to

them, having a heightened and sustained effort after failures and setbacks, and then quickly recovering their positive self-efficacy (Bandura, 1994). On the other hand, people who doubt their capabilities may believe that things are tougher than they really are, a belief that fosters stress, depression, and a narrow vision of how best to solve a problem (Pajares & Schunk, 2001). The principal's efficacy level is a major factor in whether a school is effective or ineffective (DeMoulin, 1993). There is a strong connection between emotional intelligence and self-efficacy. Workplace outcomes can be impacted by the effect of emotional intelligences on self-efficacy through causal reasoning processes and emotions (Gundlach, Martinko, & Douglas, 2003).

Statement of the Problem

Little research has been conducted on the relationship of emotional intelligence and self-efficacy of first and second year principals. There have been numerous research studies about leader emotional intelligence and teacher self-efficacy. With the emergence of emotional intelligence impacting leadership styles, Goleman (1998a) suggested that 80 to 90 percent of the competencies that distinguish outstanding leaders from average leaders are related to emotional intelligence. Self-efficacy, or perceived capabilities of one's self, effect the development of functional leadership strategies, the skillful execution of the strategies, and impact cognitive and behavioral functions necessary to regulate group processes (McCormick, 2001). Chan (2007) and Mikolajczak and Luminet (2007) found that individuals who exhibited high emotional intelligence had high self-efficacy.

Purpose of the Study

The purpose of the study was to determine the level of emotional intelligence and self-efficacy in first and second year principals in Missouri. This study evaluated the level of emotional intelligence and self-efficacy in an effort to determine if a relationship exists between the two attributes. The study also compared levels of emotional intelligence and self-efficacy between first and second year principals. By comparing first and second year principals' self-efficacy, it will be assumed that second year principals will have a higher level of self-efficacy. Second year principals will have more experience in working with educational situations and will have a higher level of self-efficacy. Bandura (1992) stated that self-efficacy continues to grow throughout life as people acquire new skills, experiences, and understanding.

Research Questions

The following research questions guided the study:

1. What is the overall emotional intelligence level of first and second year principals?
2. What emotional intelligence factors do first and second year principals measure?
3. How do emotional intelligence factors compare between first and second year principals?
4. What level of self-efficacy do first and second year principals measure?
5. What competencies of self-efficacy do first and second year principals measure?
6. How do competencies of self-efficacy compare between first and second year principals?

7. What is the relationship between emotional intelligence and self-efficacy of first and second year principals?

Design and Methodology

The study evaluated the level of emotional intelligence and self-efficacy to determine if a relationship existed between the two attributes. Research indicates that workplace outcomes can be impacted by emotional intelligence effect on self-efficacy through causal reasoning processes and emotions (Gundlach, Martinko, Douglas, 2003), thus impacting a person's ability to control self-efficacy beliefs. The study also compared levels of emotional intelligence and self-efficacy between first and second year principals.

To address ethical considerations of human subjects, this proposal was approved by the University of Missouri Institutional Review Board (IRB). All study participants were informed of their rights and agreed to an informed consent. The research was collected through two surveys and was quantitative in nature. "Quantitative researchers seek explanations and predictions that will generate to other persons and places. The intent is to establish, confirm, or validate relationships and to develop generalizations that contribute to theory" (Leedy & Ormrod, 2001, p. 102).

Quantitative data permit the researcher to present data in a descriptive form and to also determine possible relationships between two (or more) quantitative variables (Fraenkel & Wallen, 2003). Quantitative research has several advantages. First, the researcher is distanced from the participant, thus the findings should not be influenced by the researcher. Secondly, the emphasis of quantitative research is the design in which data can be analyzed by statistics to support or disprove claims. Thirdly, there is a

removal of errors, values, and biases (Connole, 2000). Fourthly, there is an emphasis on replication, prediction and control. Lastly, the data that are received are based on the “notion that events occur according to regular laws and, as such, human behavior can be viewed as an outcome of antecedent environmental events” (Connole, 2000, p. 41).

Data Collection and Instrumentation

The data were collected from on-line surveys administered to first and second year principals. First and second year principals are defined as administrators who have no other experience as a principal in Missouri or in another state. Each participant was contacted via email to request their participation in the study. All participant surveys were completed through the internet using the survey builder website Survey Monkey.

Two surveys were used to determine various demographic data and perceptual data involving emotional intelligence and self-efficacy. First and second year principals were administered the Assessing Emotions Scale (AES) and the Principal Sense of Efficacy Scale (PSES).

The Assessing Emotions Scale (AES) is based on Salovey and Mayer’s (1990) original model of emotional intelligence. The original model is a self-report model and consists of an appraisal of emotion in self and others, expression of emotion, regulation of emotion in self and others, and utilization of emotion in solving problems. The Assessing Emotions Scale (Schutte, Malouff & Bhullar, 2007) is a 33 item self-report inventory which focuses on typical emotional intelligence and attempts to assess characteristic or trait emotional intelligence. Schutte, N.S., Malouff, J.M., Hall, L.E., Haggerty, D.J., Cooper, J.T., Golden, C.J., and Dornheim, L. (1998), found a two-week test-retest reliability of .78 for total scores. A substantial convergent validity score was

found to be $r = .43$ when compared with another self-report measure of emotional intelligence, the EQ-I (Brackett & Mayer, 2003).

The Principal Sense of Efficacy Scale (PSES) was used to measure the principals' self-efficacy. The PSES was adapted from a measure of teacher self-efficacy developed by Tschannen-Moran and Woolfolk (2001). The instrument uses a nine-point scale and measures competencies in the areas of school management, instructional leadership and moral leadership. The scale ranges from a low score of 18 to a high score of 162. Each of the three subscales reported high reliability with .86 for *Principals' Sense of Efficacy for Instruction*, .87 for *Principals' Sense of Efficacy for Management*, and .83 for *Principals' Sense of Efficacy for Moral Leadership* (Tschannen-Moran & Gareis, 2004).

Significance of the Study

This study has significance for organizations that support first and second year principals. School districts, mentoring programs, and principal preparation programs may make changes in the approach to preparing and training new leaders in the area of emotional intelligence and self-efficacy. Goleman (1998a) suggested that 80 to 90 percent of the competencies that distinguish outstanding leaders from average leaders are related to emotional intelligence. Consequently, the soft skills related to emotional intelligence should be developed and grown (Stephens & Hermond, 2009). Self-efficacy has been associated with increased individual and organizational performance (Bandura, 1997; Stajkovic & Luthans, 1998), thus, "practitioners can improve performance through increased self-efficacy by investing in emotional intelligence training" (Gundlach, Martinko, & Douglas, 2003, p. 241). The information gathered in this study will contribute to research on how emotional intelligence and self-efficacy can be

strengthened through awareness and training which can impact new leaders' performances.

Limitations of the Study

The purpose of the study was to determine the levels of emotional intelligence and self-efficacy in Missouri first and second year principals. The limitations of this study will consist of the sample size of the study, the time limitations of the study, and the use of technology for survey delivery. The population of this study was limited to Missouri and consists of current first and second year principals in the state.

This study was a quantitative study utilizing descriptive and correlative statistics gathered by an on-line survey. Fraenkel and Wallen (2003) reported that there are limitations to the use of surveys due to the threat of validity of the instrumentation process. Other issues that result from the use of survey data are the lack of participation and this lack of participation seems to be "increasing over the recent years" (Fraenkel & Wallen, 2003, p.407).

The use of technology to administer the web-based survey can be viewed both as strengths and weaknesses to the study. The survey instrument can allow for a more timely development of the data received, but is limited to the subjects utilizing a computer to answer the questions.

Another limitation can involve timing of the survey, as stress levels and busy schedules of each principal can vary significantly from day-to-day. The level of perceived stress affecting each participating first and second year principal at the time of the survey is completed may impact the results of the survey. Depending on the individual, it may be more of a snapshot of the current situation and may not reflect the

complete picture of a first and second year principal's abilities in an overall scheme. Another factor could also be some hesitancy on the part of certain participants in reporting personal feelings related to their work environment.

Basic assumptions of the study are that first and second year principals responding to the survey will be honest and answer as accurately as possible to measure overall emotional intelligence and self-efficacy. It is also assumed that the individual who will respond to the survey is the person who belongs to that email address.

Definition of Key Terms

This study of emotional intelligence and self-efficacy draws on the specific meaning of the following terms.

Emotional Intelligence. Emotional Intelligence will be defined as “the ability to engage in sophisticated information processing about one’s own and others’ emotions and the ability to use this information as a guide to thinking and behavior” (Mayer, Salovey, & Caruso, 2008, p. 503).

First and second year principal. These are principals who have no prior experience as a head building administrator and are in their first or second year on the job. The person may have been an assistant principal.

Managing Others’ Emotions. This ability allows a person to be open to feelings and to modulate them in others to promote personal understanding and growth (Mayer, Salovey, & Caruso, 2008).

Managing Own Emotions. This is the ability to be open to feelings and to modulate them in oneself to promote personal understanding and growth (Mayer, Salovey, & Caruso, 2008).

Perception of Emotion. The ability to perceive emotions in oneself and others as well as in objects, art, stories, music, and other stimuli (Mayer, Salovey, & Caruso, 2008).

Principal's Efficacy for Instructional Leadership. The ability to motivate teachers, generate enthusiasm for a shared vision for the school, manage change in the school, create a positive learning environment, facilitate student learning, and raise student achievement on standardized tests (Tschannen-Moran & Gareis, 2004).

Principal's Efficacy for Management. The ability to handle the time demands of the job, handle the paperwork required of the job, maintain control of his or her daily schedule, prioritize among competing demands of the job, cope with the stress of the job, and shape the operational policies and procedures that are necessary to manage the school (Tschannen-Moran & Gareis, 2004).

Principal's Efficacy for Moral Leadership. The ability to promote acceptable behavior among students, promote school spirit among a large majority of the student population, effectively handle the discipline of students in the school, promote a positive image of the school with the media, promote the prevailing values of the community in the school, and promote ethical behavior among school personnel (Tschannen-Moran & Gareis, 2004).

Self-Efficacy. Bandura (1994) defined perceived self-efficacy as “people's beliefs about their capabilities to produce designated levels of performance that exercise influence over events that affect their lives” (p. 71).

Utilization of Emotion/Emotional Facilitation of Thinking. This is defined as the ability to generate, use, and feel emotion as necessary to communicate feelings or employ them in other cognitive processes (Mayer, Salovey, & Caruso, 2008).

Summary

First and second year principals must handle a multitude of constituencies, be a visionary, form partnerships with teachers and the community, and make sure that every child achieves academic gains (Copland, 2001). Bloom (2004) wrote that few jobs present as many challenges as does a principal's job to an individual's emotional intelligence. Emotional intelligence is the "ability to monitor one's own and other's feelings and emotions, to discriminate among them, and to use this information to guide one's thinking and action" (Salovey and Mayer, 1990 p. 189). Leaders possessing a high level of emotional intelligence set goals that are clear and mutually agreed upon, prefer praise as a tool for training and inspiring employees, rely on decentralization for achieving goals, focus on employees and their feelings, and are role models (Saavedra, 2000).

In order for one to take action and perform a task, the principal must have a strong sense of self-efficacy. Bandura (1994) defined perceived self-efficacy as people's beliefs about their competence to produce selected levels of performance that influence events affecting their lives. Self-efficacy beliefs determine how people feel, think, motivate themselves and behave in given situations, and can impact a principal's success of performance events. High self-efficacy improves an employee's capacity to collect relevant information, make sound decisions, and then take appropriate action, especially when there are time constraints (Heslin & Klehe, 2006).

The study focused on the relationship of emotional intelligence and self-efficacy among first and second year principals in Missouri. Both emotional intelligence and self-efficacy impact a principal's level of success. Chan (2007), and Mikolajczak and Luminet (2007) found that individuals who exhibited high emotional intelligence had high self-efficacy. Organizations and programs that support principals can enhance both emotional intelligence and self-efficacy through training and awareness.

CHAPTER TWO

REVIEW OF LITERATURE

Introduction

New principals often enter into a leadership position with little or no support, and, thus, are unprepared for many of the situations that might arise due to their new employment (Brown, 2005). With the recent influx of state and federal pressures for schools to perform at increasingly higher and more successful levels, leadership demonstrated by the principal is even more important in efforts to guide the school toward a collaborative culture (Blankstein, 2004; Hallenger & Heck, 1999). The principal must also be aware of state standards for efficiency, ensure teachers are performing at a high level, provide high quality professional development, and help improve student achievement. The job of a principal is complex and demanding, requiring a great depth of professional knowledge, an array of skills, and particular beliefs or dispositions about how and why to act in a variety of situations (Council of Chief State School Officers, 1996).

Emotional intelligence and self-efficacy of a principal are factors which can impact leadership capabilities of new principals. Research on leadership indicates that emotionally intelligent leaders have the key attributes to be outstanding performers (Goleman, 1998b). Emotional intelligence can be learned with time and commitment; thus, new principals can become more aware of themselves and effective in their organizational environment (Goleman, 1998b). Another component of the principal's skills is a principal's self-perception of his or her leadership capabilities, or self-efficacy. "In assessing self-perceptions of competence, the principal assesses personal capabilities

such as skills, knowledge, strategies, or personality traits balanced against personal weaknesses or liabilities in a particular school setting” (Tschannen-Moran & Gareis, 2004, p. 574).

New Principals

The principal is a key leader who faces many challenges and stressful situations and must develop relationships. New leaders are in a crucial position to develop, maintain, and reform schools (Hausman, Crow, Sperry, 2000). Bloom (2004) wrote that new leaders have brains, determination, knowledge, and technical skills, but can lack in style and people skills. Effective, new leaders also exhibit a high degree of self-awareness, self-regulation, motivation, empathy, and social skill (Goleman, 1998a). They admit their mistakes and seek to learn from them. Principal leadership is important, especially when leadership impacts the school organization.

Changing Role of the Principal

At one time new principals were expected to be good managers by simply maintaining their schools by balancing budgets, dispensing discipline, dispersing information about state and legal mandates, and making sure the school was maintaining all necessary regulations. Traditionally, principals have been expected to comply with district-level edicts, address personnel issues, order supplies, balance program budgets, keep hallways and playgrounds safe, troubleshoot situations that threaten tranquil public relations, and make sure that busing and meal services operate smoothly (NAESP & NASSP, 1998). This has all changed with increased standards from local, state, and federal governments. State and federal mandates continually place pressure on principals to be the primary agents of change in their schools. Principals are held accountable for

the school as a whole reaching high academic standards and are held accountable for the results (Copland, 2001; Ferrandino, 2001; NASBE, 1999).

School leaders can influence the direction of a school system by being influential leaders through three primary avenues: purposes, social networks, and people (Hallinger & Heck, 1999). Leithwood, Jantz, Silins, and Dart (1993) found that leadership variables had a significant effect on changes in teachers, programs, instruction, and student outcomes such as developing school culture, school goals, shared vision and consensus about group goals, as well as providing intellectual leadership. Portin and Shen (1998) found that although new models of shared leadership and teacher collaboration have cast leadership responsibilities more widely, the principal remains the most important individual at the nexus of leadership in the school. The Policy Brief (1999) proposed a list of qualities of effective leaders:

Effective leaders provide instructional leadership. Instructional leadership involves a large amount of time and energy to improve the quality of teaching and learning. Leaders are committed to improving instruction from groups of students who are not learning now.

Effective leaders have strong management skills. A successful administrator must be able to balance the budget while negotiating the conflicting demands of local, state, and federal bureaucracies, parents, politicians, and constituent groups.

Effective leaders must be able to communicate and collaborate with people inside and outside the school. Leadership is a shared process involving leaders, teachers, students, parents, and community members.

Effective leaders must be able to articulate a vision of their educational system and formulate a plan on how to get there. Leaders must be able to understand the change process within schools and encourage and challenge people during the change process. (p. 1-3)

Copland (2001) summed up what principals in the Twenty-First Century will need to do to be exemplary in their profession:

Principals are now commonly portrayed as the key actors in school-level reform and face an audience of multiple constituencies who are ever more critical of their craft. Held accountable by superintendents, school boards, staff members, parents, the media, and community members, today's principals are charged with "big picture" responsibilities to strike a vision, lead from the center, and build a community of learners. They must share decision making, link with external partners, and generally broaden the involvement of the community in shaping a vision for the school. They are counted on to ensure learning for every pupil in an increasingly diverse student population, while at the same time they are charged with infusing new technologies throughout their school and fostering the professional growth of faculty and staff members. (pp. 529-530)

Increasing Stress Levels of New Principals

Several studies reflect the ever challenging job at hand and the ever increasing stress levels that new administrators encounter on a daily basis (Chmelynski, 2001; Ferrandino, 2001; Hopkins-Thompson, 2000). New principals are bombarded with long hours, excessive workloads, increasing responsibility, and insurmountable expectations from competing factions. Lovely (2004) reported beginning principals must be able to

develop the capacity to handle a world full of brief encounters, maintain a repertoire of cognitive and interpersonal skills to handle a variety of assignments and constituencies, and learn to function under fragmented circumstances. New principals can be stressed by absorbing volumes of information, working for change despite significant resistance, and proving oneself to others (Lovely, 2004). Bloom (2004) suggested new principals must master a broad spectrum of educational and management skills, build and maintain relationships with multiple constituencies, and lead the change process in highly politicized and conservative institutions. Smith and Piele (1997) found several ways that first year principals can be overwhelmed: isolation, technical and logistic problems, getting to know the culture, lack of feedback, and being atypical. Time and job expectations make it practically impossible to build relationships with other colleagues. Technical and logistical problems can be overwhelming because of the necessity to complete required reports and state forms as new principals try to decipher the technical jargon. The systematic and daily routines such as building teacher and lunch schedules can also cause stress as the principal tries to navigate logistical problems.

Isolation and lack of professional support are major reasons new principals struggle with the daily demands of the workplace. Primary sources of stress for new principals include the need to master technical skills, the demands of a wide range of constituents, the personal feelings of inadequacy, the fast-paced environment, the task of supervising teachers, and most of all, the sense of isolation in their new role (Lashway, 2003). Because of the isolation, the accepted modes of operating within the culture are hard to learn. Feedback to new principals is very rare, and new principals may lack confidence and have limited knowledge of personal goals on which to grow.

Emotional Intelligence

Salovey and Mayer (1990) first introduced emotional intelligence (EI) and defined EI as “a form of social intelligence that involves the ability to monitor one’s own and others’ feelings and emotions, to discriminate among them, and use this information to guide one’s thinking and action” (p.189). Daniel Goleman popularized the theory of emotional intelligence in his 1995 book, *Emotional intelligence: Why it can matter more than IQ*. Corporate America quickly adopted the theory and emotional intelligence became a common phrase in the 1990s (Cherniss, 2000). Big business and academic institutions began to utilize emotional intelligence concepts in training and education modules.

Historical Roots of Emotional Intelligence

Many psychologists, when writing and studying about intelligence, were initially focused on cognitive aspects such as problem solving, learning, and language. Several researchers did recognize the importance of non-cognitive aspects (Gardner, 1983; Thorndike & Stern, 1937; Weschler, 1940). Thorndike and Stern (1937) studied social intelligence at three levels. The first level included an individual's attitude toward society and its various components of politics, economics, and values. The second level was social knowledge, such as being well versed in sports, contemporary issues, and having general "information about society" (p. 276). The third level, an individual's degree of social adjustment, was measured by responses to a questionnaire of an individual's introversion and extroversion. Upon completion of the tests, Thorndike and Stern (1937) concluded that measuring the ability of people to interact with others on a social intelligence level more or less failed, stating, "It may be that social intelligence is a

complex of several different abilities, or a complex of an enormous number of specific social habits and attitudes" (p. 284). David Wechsler, developer of the Wechsler Adult Intelligence Scale (WAIS) tests, also explored the concept of "social intelligence." Wechsler referred to both non-intellective and intellective elements of intelligence. The non-intellective elements included affective, personal, and social factors. These elements were later hypothesized to be essential for predicting one's ability to succeed in life (Wechsler, 1940). In 1983, Howard Gardner introduced the term "multiple intelligences" in which he theorized that IQ and related tests can measure intrapersonal and interpersonal intelligences (Gardner, 1983).

Current Theories of Emotional Intelligence

Currently there are three popular theories of emotional intelligence. The first theory was introduced by Reuven Bar-On (1988) as Emotional Quotient (EQ) even before the term gained in popularity and was utilized by Salovey and Mayer in 1997. Bar-On defined emotional quotient as a cross-section of interrelated emotional and social competencies, skills and facilitators that determine how effectively we understand and express ourselves, understand others and relate to them, and cope with daily demands (Bar-On, 2006). Bar-On (2000) suggested that emotional intelligence is an array of emotional, social knowledge, and abilities that influence the capability of an individual to handle the stresses of the environment. This array includes (1) the ability to be aware of, to understand, and to express oneself; (2) the ability to be aware of, to understand, and to relate to others; (3) the ability to deal with strong emotions and control one's impulses; and (4) the ability to adapt to change and to solve problems of a personal or a social

nature. The five key domains in his model are intrapersonal skills, interpersonal skills, adaptability, stress management, and general mood (Bar-On, 1997).

According to Bar-On (2006), emotional intelligence is closely related to social intelligence and often uses the construct of emotional-social intelligence. Bar On's (1997) mixed model defined emotional intelligence as "an array of non-cognitive capabilities, competencies, and skills that influence one's ability to succeed in coping with environmental demands and pressures" (p. 14). His model is based on terms of traits and abilities related to emotional and social knowledge and can be viewed as a model of psychological well-being and adaptation. This model is the ability to be aware of, to understand, and to express oneself; the ability to be aware of, to understand and relate to others; the ability to deal with strong emotions and control one's impulses; and the ability to adapt to change and to solve problems of a personal or social nature (Bar-On, 2000).

Bar-On's model of emotional intelligence has five components and sub-component categories. The intrapersonal domain integrates self-regard, emotional self-awareness, assertiveness, independence, and self-actualization. The interpersonal domain integrates empathy, social responsibility, and interpersonal relationship. The adaptability component involves reality testing, flexibility, and problem solving. The stress management component incorporates stress tolerance and impulse control, and the last component of general mood incorporates optimism and happiness. Based on the research conducted by Bar-On, emotional and social intelligence is composed of a number of intrapersonal and interpersonal competencies, skills, and facilitators that combine to determine effective human behavior. The way a person manages emotions is very important to effectively managing personal, social and environmental change in a

realistic and flexible manner so the decisions that are being made work for the person and not against them.

The emotional intelligence theory of Mayer and Salovey (1997) has been framed within a model of intelligence. The first definition of emotional intelligence by Salovey and Mayer (1990) was expressed as the "ability to monitor one's own and other's feelings and emotions, to discriminate among them, and to use this information to guide one's thinking and action" (p. 189). Since 1990, Mayer and Salovey's definition of emotional intelligence has been transformed as an *ability*-based definition of perceived emotions, to access and generate emotions to assist thought, to understand emotions and emotional knowledge, and to reflectively regulate emotions to promote emotional and intellectual growth (Mayer & Salovey, 1997). Mayer and Salovey (1997) proposed that emotional intelligence is largely developmental, with mental aptitudes fitting within the general matrix of self and the ability to recognize or regulate emotion.

In the last decade, two popular models of emotional intelligence emerged to define emotional intelligence: (a) an ability model and (b) a mixed (traits with abilities) model (Mayer, Salovey, & Caruso, 2000). Mayer et al. (2000) originally conceptualized the ability model of emotional intelligence as a type of intelligence or aptitude that would overlay with cognitive ability. Emotional intelligence based on the ability model "carry out accurate reasoning about emotions and the ability to use emotions and emotional knowledge to enhance thought" (Mayer, 2008, p. 511).

Upon further study and review, Mayer and Salovey (1997) developed the Four-Branch Model of emotional intelligence. The authors believe that emotional intelligence is based on four broad areas which include perceiving emotions, facilitating thought,

understanding emotions, and managing emotions. Perceiving emotions is the ability to perceive emotions of oneself and others in objects, art, music, and other stimuli.

Facilitating thought is the ability to generate, use, and feel emotion as necessary to communicate feelings and use them in the thought process. Understanding emotions is the ability to understand emotional information, how emotions combine and progress through relationship transitions, and to appreciate such emotional meanings. The fourth construct, managing emotions, is the ability to be open to feelings, and to regulate them in oneself and others so as to promote personal understanding and growth (Mayer & Salovey, 1997).

The third theory of emotional intelligence by Daniel Goleman was based on the research of Salovey and Mayer (1990) and was revealed to the general public in his 1995 book *Emotional Intelligence: Why it can matter more than IQ*. Goleman (1998b) revealed a more specific definition and measure of emotional intelligence as “the capacity for recognizing our own feelings, and those of others, for motivating ourselves and for managing emotions well in our relationships” (p. 316). To characterize a structure of emotional intelligence that reflects the success of an individual, Goleman (1998b) represented an individual's potential for mastering the skills to four main emotional intelligent constructs of self-awareness, self-management, social awareness, and relationship management and then translates that success in the workplace. The first skill, self-awareness, is the ability to read one's emotions and recognize their impact while using internal feelings to guide decisions. Self-management, the second construct, involves controlling one's emotions and impulses and adapting to changing circumstances. The third construct, social awareness, includes the ability to sense,

understand, and react to others' emotions while comprehending social networks. Finally, relationship management, the fourth construct, entails the ability to inspire, influence, and help others while managing conflict (Goleman, 1998b). Goleman (1998b) postulates that the four domains are abilities that can be learned, depending on the underlying strength of each relevant emotional intelligent domain.

Emotional Intelligence and the Principal

Effective principals need more than cognitive knowledge and ability; they need a high degree of emotional intelligence. Emotional intelligence of the individual can impact the many challenges that a first year principal will face. Hausman, Crow, and Sperry (2000) found that successful principals have five components of emotional intelligence: self-awareness, self-regulation, motivation, empathy, and social skills. The characteristics of leaders possessing a high level of emotional intelligence include setting goals that are clear and mutually agreed upon, preferring praise as a tool for training and inspiring employees, relying on decentralization for achieving their goals, focusing on employees and their feelings, and being role models (Saavedra, 2000). Goleman, Boyatzis, and McKee (2002) posit that emotional competencies of self-awareness, self-management, social awareness, and relationship management are related to outstanding leadership.

The actions of principals are congruent with their own values and dispositions. Dispositions are the “values, commitments, and professional ethics that influence behavior” (NCATE, 2002, p. 53) and it is important for an educator to have knowledge of their own dispositions which is founded in self-awareness, the awareness that a person's worldview is not universal, but is profoundly influenced by life experiences (Villegas & Lucas, 2007). Principals are able to adapt leadership contexts to different situations

through self-awareness as self-awareness is the ability to know one's emotions, needs, values, beliefs, strengths, and limitations.

Effective principals are able to shape a vision that all stakeholders can accept and they understand that not all stakeholders are congruent with their values. Goleman, Boyatzis, and McKee (2002) stated that self-awareness "...allows the mental clarity and concentrated energy that leadership demands, and what keeps disruptive emotions from throwing us off track. Leaders with such self-mastery embody an upbeat, optimistic enthusiasm that tunes resonance to the positive range"(p. 46). Self-awareness allows the principal to create a culture of trust and risk-taking among staff because they are able to control their own emotions and withhold judgment before acting. Under the most difficult situations, the principal is able to stay calm, cool, and collected. Principals need to model commitment by addressing difficult challenges while maintaining optimism. Empathy and social skills provide the principal with the ability to understand the emotional makeup of people. Good principals understand that during the change process, people possess differing needs and levels of readiness. Goleman, Boyatzis, and McKee (2002) contend that from self-awareness flows self-management, which is the focused drive that all leaders need to achieve their goals. Educators without this awareness overuse their own experience, and may misinterpret communication and behaviors of students and other adults.

Self-management is the inner, ongoing conversation with self and allows for inner clarity and concentrated energy. Self-management keeps disruptive emotions from derailing people (Goleman, Boyatzis, & McKee, 2002). The self-management cluster includes being adaptable in changing situations, having emotional self-control in service

of a group, being proactive, being achievement oriented, being trustworthy, and having a positive view of life and the future.

The social-awareness cluster includes having empathy, meeting the needs of customers, and perceiving the political relationships within the organization. Goleman, Boyatzis, and McKee (2002) have established the social-awareness cluster of “taking employees’ feelings into thoughtful consideration and then making intelligent decisions that work those feelings into response” (p.50). This potent emotional guidance system allows the leader to keep what they say in perspective. Covey (1989), Maxwell (1999), Tichy (1997), and Yukl (2002), contend that a leader’s success can be based on maintaining emotional reactions, emotional well-being, and managing emotions; thus, successful leaders need to be cognizant of their own emotional well-being and constituents’ well-being.

Principals also need to meet the needs of the organization (Hausman, Crow, & Sperry, 2000). The relationship-management cluster includes inspiring and guiding groups of people, developing others, initiating and managing change, resolving disagreements, influencing others, and building relationships with a shared vision and synergy. To flourish in their careers, principals must learn to become more efficient in their relationships and learn to manage their conversations so they are short, effective, and meet the emotional needs of the participants (Bloom, 2004). Goleman, Boyatzis, and McKee (2002) described relationship management as “friendliness with a purpose: moving people in the right direction, whether that’s agreement on a marketing strategy or enthusiasm about a new project” (p. 51).

Principals who do not have emotional intelligence skills are less likely to be successful. Bloom (2004) stated that principals who do not remain in the job leave for reasons more related to emotional intelligence levels than other job-related tasks. New principals are seldom prepared to handle the demands placed on them in regards to emotional intelligence. To better handle experiences and build leadership skills and emotional intelligence in principals, coaching and mentoring of principals can support beginning principals. With the large array of emotional intelligence models available and the debates regarding their validity and reliability, there is a growing body of evidence that suggests that whatever emotional intelligence is, emotional intelligence seems to be relevant to the workplace, can be promoted through training, and potentially has significant implications to the bottom line success of schools (Cherniss & Goleman, 2001).

Self-Efficacy

The concept of self-efficacy is rooted in Albert Bandura's social cognitive theory. Bandura (1994) defined perceived self efficacy as "people's beliefs about their capabilities to produce designated levels of performance that exercise influence over events that affect their lives" (p. 71). The cognitive construct of self-efficacy is task and context specific (Bandura, 1977). In other words, self-efficacy beliefs determine how people feel, think, motivate themselves, and behave in given situations. Bandura (1997) suggested that self-efficacy beliefs are not a stable character trait of a person, but are an active and learned system of beliefs held in context. In his eight year study of self-efficacy, DeMoulin (1993) expanded the definition to "a non-restrictive sensation based on the interrelationship of motivation, confidence and stress which manifests a level of

performance quality and a degree of effectiveness toward some situation, task, or responsibility” (p. 196). Bandura (1994) reported that people develop self-efficacy in four ways: mastery experience (enactive attainment), vicarious experience, social persuasion (including verbal persuasion), and physiological states. Two more developmental factors were found to determine ones self-efficacy level: imaginal experiences and emotional states (Maddux, 1995).

The mastery experience is the most influential source of efficacy because it relies on being involved in an authentic experience. Each successful task leads to achieving increasingly difficult accomplishments of a similar kind. Situations should be structured to bring about successes and to avoid experiences that lead to repeated failure. In order to ensure a high level of initial success, the subject should break down difficult tasks into small steps that are comparatively easy (Heslin & Klehe, 2006). Once positive activities are conquered, self-efficacy tends to generalize to other situations, particularly in activities that are similar to those already mastered. However, even failures that are overcome with persistent effort can lead one to master even the most difficult tasks (Bandura, 1986).

The second level in which self-efficacy is developed is through vicarious experiences provided by social models. Observers’ belief systems are altered when they see people similar to themselves succeed with sustained effort; however, “observing that others perceived to be similarly competent fail despite high efforts lowers observers’ judgments of their own capabilities and undermines their efforts” (Bandura, 1986, p. 399). Bandura (1986) reported that some factors make an individual more sensitive to vicarious influences, including the uncertainty of their own capabilities, little prior

experience, and social evaluative criteria. Social models are effective at transmitting knowledge and teach observers effective skills and strategies for managing the demands of their surroundings (Bandura, 1994).

Social persuasion, including verbal persuasion, is the third process to develop self-efficacy. When individuals are persuaded that they possess the capabilities to master a given task, they will be more likely to put forth more effort and sustain the effort more than when they have self-doubt and dwell on personal deficiencies. Unrealistic beliefs of personal competence can be quickly disconfirmed by disappointing results of the person's efforts (Bandura, 1986; Bandura 1994). This construct continues to enhance failure when a person is told repeatedly that he or she lacks the necessary capabilities to handle the tasks at hand, thus the person can give up in the face of difficulties. This spiral only validates the associated disbelief of the person's capabilities (Bandura, 1994).

The fourth method people use to develop self-efficacy is through their own physiological state. Signs of vulnerability to poor performance are interpreted through their stressful reactions to tension. People with a heightened sense of self-efficacy can be energized toward performing better, while people with low self-efficacy or self-doubt interpret the energy as debilitating (Bandura, 1994).

The fifth level of self-efficacy is imagery experiences or the ability of an individual to mentally rehearse tasks to determine what needs to be done to be successful (Maddux, 1995). The visualization of the task is two-fold. A positive visualization can produce a positive result, while negative imagery can produce a negative result. Kazdin (1979) found that imagery modeling can be used to improve assertive behavior and improve self-efficacy toward assertiveness.

The final developmental level is emotional state. Emotional states of the individual determine how levels of self-efficacy are impacted. A person who is calm is more self-efficacious than a person who is aroused or distressed (Maddux, 1995). The magnitude of mood can impact the level of self-efficacy at a given moment, such as being very positive or negative compared to being slightly positive or negative.

The level of self-efficacy is greatly affected by how the person interprets developmental levels. Bandura (1986) suggested if a person believes he has the ability to decide successful outcomes through effort and persistence, then this will increase performance and self-efficacy. With increased and successful performances comes a greater effort to achieve and persevere through difficult times.

The research of Bandura, (1982, 1986), Covington, (1984), as well as Dimmock and Hattie (1996) support the importance of the self-efficacy concept. People with a strong sense of self-efficacy have several positive attributes, including having a high assurance in their capabilities to approach difficult tasks, staying involved in activities, setting challenging goals and maintaining a strong commitment to them, having a heightened and sustained effort after failures and setbacks, and then quickly recovering their positive self-efficacy (Bandura, 1994). Failures are realized as a lack of sufficient effort or knowledge. People with a positive efficacious outlook produce personal accomplishments which, in turn, can reduce stress and lower depression (Pajares & Schunk, 2001).

By comparison, people with a lower sense of self-efficacy see difficult tasks as a personal threat and will avoid attempts to conquer them. The person will have a weak commitment and low aspiration for the goals which he or she has chosen. In the face of

difficult tasks, a low self-efficacious person will not concentrate on the task at hand, but will instead dwell on personal efficiencies, the obstacles to encounter, and the adverse outcomes (Bandura, 1994). People who doubt their capabilities may believe that things are tougher than they really are, a belief that fosters stress, depression, and a narrow vision of how best to solve a problem (Pajares & Schunk, 2001). Low self-efficacy can often lead to a sense of helplessness and hopelessness about one's ability to learn how to cope with the challenges and demands of the work at hand (Heslin & Klehe, 2006).

Most educational research on self-efficacy began in the 1970s and focused on teachers with the belief that a teacher could affect student performance. Teacher efficacy research has found a high correlation between positive teacher efficacy and student achievement (Ashton & Webb, 1986; Moore & Esselman, 1992; Ross, 1992). Teachers with high self-efficacy perceive situations as challenges and can manage negative experiences effectively, while teachers with low self-efficacy experience more anxiety, worry, and self-doubt, which could lead to psychological distress (Schwarzer & Greenglass, 1999).

There is little research in regards to self-efficacy and the principal; however, the research that is prominent supports the theory of self-efficacy. The main reason for the lack of research was the ability to find reliable and valid instruments to measure self-efficacy of principals (Tschannen-Moran & Woolfolk Hoy, 2001). Dimmock and Hattie (1996) created an instrument to measure the self-efficacy of principals related to the context of school restructuring. Tschannen-Moran and Gareis (2004) adapted their own teacher self-efficacy scale into the Principal Sense of Efficacy Scale (PSES). McCollum,

Kajs and Minter (2006) created an instrument to measure and target the confidence of school administrators performing a variety of leadership and management tasks.

Bandura (1997) reported that a principal's sense of self-efficacy is a judgment of his or her abilities to structure a particular course of action to produce a desired outcome in the school that he or she leads. The principal's efficacy level is a major factor in whether a school is effective or ineffective (DeMoulin, 1993). Principals with positive self-efficacy are able to perform at a higher level. The perceived capabilities affect the development of functional leadership strategies, the skillful execution of the strategies, and impact cognitive and behavioral functions necessary to regulate group processes (McCormick, 2001). Lyons and Murphy (1994) found that principals with higher self-efficacy are more likely to use expert, informational, and referent power or internally-based personal power. During difficult situations, principals will regulate their personal expectations to correspond to conditions, typically remaining confident and calm, and keeping their sense of humor (Tschannen-Moran & Gareis, 2005, p. 5).

Principals with low self-efficacy struggle with conquering daily tasks; thus, they perceive an inability to control the environment and will be less likely to identify appropriate strategies or modify unsuccessful ones (Tschannen-Moran & Gareis, 2004). Low efficacy principals are controlled by symptoms of stress rather than controlling the situations that create the stress (DeMoulin, 1993). Low efficacious principals resist efforts to change and persist in the original course-of-action even when they fail. When challenged about their failures, they will more likely blame others (Tschannen-Moran & Gareis, 2004) and are inflexible, have a negative outlook, and have an inability to accept personal limitations (DeMoulin, 1993). Burn-out is quicker when there are inefficacious

beliefs, as there is an association with a sense that one can no longer perform the role of principal (Tschannen-Moran & Gareis, 2005).

Relationship of Emotional Intelligence and Self-efficacy

Salovey and Mayer (1990) proposed the concept of emotional intelligence as the ability of people to deal with their emotions. The definition goes further to suggest that emotional intelligence is “the subset of social intelligence that involves the ability to monitor one’s own and others’ feelings and emotions, to discriminate among them and to use this information to guide one’s thinking and action” (p. 186). This regulation of self-awareness is important in regulating emotions. Self-awareness creates a strong connection to self-efficacy, as self-efficacy emphasizes self-awareness and self-regulation as factors influencing the development of self-efficacy beliefs (Bandura, 1997). Emotional intelligence and self-efficacy merge as an individual interprets organizational realities by the ability to recognize thoughts, feelings, and behaviors through self-awareness, regulation, and control (Bandura, 1997).

The cognitive processes of self-efficacy can be impacted by emotions as “emotions left uncontrolled can interfere with the cognitive processing of information that can be vital to task performance” (Gundlach, Martinko, & Douglas, 2003, p. 234). One would surmise that a person with low emotional intelligence and low self-efficacy will likely struggle in maintaining order in daily tasks. Important workplace outcomes can be impacted by emotional intelligence’s effect on self-efficacy through causal reasoning processes and emotions (Gundlach, Martinko, Douglas, 2003), impacting a person’s ability to control his self-efficacy beliefs. Gundlach, Martinko, and Douglas (2003) summarized the connection of emotional intelligence and self-efficacy:

When employees control their emotions, make accurate attributions for past workplace events, and objectively understand how their emotions and attributions influence their thoughts, feelings, and expectancies about future workplace events, they are better able to enhance self-efficacy beliefs. On the other hand, when organizational members are unable to control their emotions and fail to make objective attributions for causation, it is likely that they will underestimate their capabilities and their self-efficacy perceptions will suffer (p. 240).

Research studies have delved into the connection of emotional intelligence and self-efficacy with teachers; however, there is sparse research on the connection with school administrators (McCollum, Kajs, & Minter, 2007; Tschannen-Moran & Gareis, 2004). Chan (2007), and Mikolajczak and Luminet (2007) found that individuals who exhibited high emotional intelligence had high self-efficacy. Teachers were more likely to use active coping skills in stressful situations and see stressful situations as a challenge instead of a threat. Penrose, Perry, and Ball, (2007) and Rastegar and Memarpour, (2008) revealed a positive significant relationship between emotional intelligence and self-efficacy of teachers.

Learning Emotional Intelligence and Self-efficacy

Research indicates that both emotional intelligence and self-efficacy can be improved through deliberate training and awareness. To improve the self-efficacy of novice principals, training programs should include mastery experiences, role play, and positive persuasive messages to enhance task-specific efficacy perceptions (Gist & Mitchell, 1992). Bandura (2000) recommended three specific approaches for developing self-efficacy in managers. First, guided mastery, which includes instructive modeling to

acquire a skill or competency, and guided skill perfection. The events are then transferred to the job to ensure self-directed leadership success. Secondly, cognitive mastery modeling is utilized. Novice principals learn thinking skills and how to apply them by observing the decision rules and reasoning strategies used by successful models. The last strategy is the understanding of self-regulatory competencies. The novice principal uses self-monitoring, self-efficacy appraisal, personal goal setting, and the use of self-motivation incentives. Self-efficacy has been associated with increased individual and organizational performance (Bandura, 1997; Stajkovic & Luthans, 1998); thus, “practitioners can improve performance through increased self-efficacy by investing in emotional intelligence training” (Gundlach, Martinko, & Douglas, 2003, p. 241).

Tschannen-Moran and Garies (2005) found that initial preparation of principals proved to be factor related to a principal’s sense of self-efficacy. Ratings of the quality and utility of the preparation were strongly correlated. However, “principals behavior is influenced by their internal thoughts and beliefs, but these beliefs are shaped by elements in the environment, including other individuals” (Tschannen-Moran & Gareis, 2005, p.7).

Preparing principals to be leaders of their organizations should be an important objective for those responsible for improving quality leadership in schools (Tschannen-Moran & Gareis, 2004). Goleman (1998b) defined an emotional competence as a *learned* capability based on emotional intelligence. Learning based on emotional competencies may result in improved performance at work. The importance of IQ being stable throughout one’s life and EI being developed is significant for change in an individual. Emotional intelligence may be learned more through life experiences, as evidenced by older participants that scored higher on the Bar-On EQ-i scale (Bar-On, 2000).

Furthermore, Emmerling and Goleman (2003) found that people can improve their social and emotional competence with sustained effort, commitment, attention, and involvement in a systematic emotional intelligence program.

Learning through the constructs of emotional intelligence occurs in clusters. Individuals develop in ways that require a multitude of emotional intelligence abilities, each most effective when used in conjunction with others. For example, Emotional Self-Control supports the Empathy and Influence competencies. Competencies are integrated together, forming a meaningful pattern of abilities that facilitates successful performance (Cherniss & Goleman, 2001). Boyatzis, Goleman, and Rhee (2000) found that the clusters support each other on a continuum of mastery which eventually leads to a major leap in performance. Clusters within a model may have a developmental relationship. The Self-Awareness Cluster of competencies is needed for sustainable Self-Management, while the Social Awareness Cluster is needed for sustainable demonstration and use of the Social Skills Cluster. A person demonstrating the competencies in one of these clusters does not exclude the competencies of another cluster, but when both are represented, the person is typically more effective in professional and managerial positions (Boyatzis, Goleman, & Rhee, 2000).

Training people in social and emotional learning can be difficult, partly due to the involvement of different areas of the brain. Cognitive learning involves “fitting new data and insights into existing frameworks of association and understanding, extending and enriching the corresponding neural circuitry” (Cherniss, Goleman, Emmerling, Cowan, & Adler, 1998, p. 5). Emotional incompetence often results from habits that are learned early in a person’s life. Habits can be reinforced through the normal functions of living in

which experiences shape the brain. The brain's default option, what a person does automatically and spontaneously, becomes the person's mode of action, often with little awareness (Cherniss, Goleman, Emmerling, et al., 1998). As new experiences are encountered during a person's life, emotional intelligent competencies are continually being learned. Research indicates that people who are older will have a slightly higher emotional intelligence based on life experiences (Fariselli, Massimiliano, & Freedman, 2006).

Another factor of learning is a person's motivation to learn or openness to experience. Motivation is important in social and emotional learning especially when adults have an already established way of relating to themselves and others. There is a need to be strongly committed to the change process for an extended period of time (Cherniss, Goleman, Emmerling, et al., 1998). Many people are unwilling to change and will often go through the motions of training. People with a high level of openness are more likely to demonstrate greater gains and have a particular advantage in training than those with a lower level of openness (McEnrue, Groves, Shen, 2007).

Boyatzis (2001) stated that people are less likely to grasp the idea of training, especially when emotional learning will affect a person's identity. Social and emotional learning means unlearning old habits and developing new ones. Students, children, and subordinates may act as if they care about learning something, go through the motions, but then proceed to disregard it or forget it unless it is something which they want to learn (Boyatzis, 2001). Boyatzis (2001) related change in self with the following process: Self-directed change is an intentional change in an aspect of who you are (i.e., the Real) or who you want to be (i.e., the Ideal), or both. Self-directed learning is self-directed

change in which you are aware of the change and understand the process of change (p.10). Goleman (2000) concluded that the potential for achieving mastery of specific abilities in the various domains of emotional competence represents the degree to which an individual has mastered specific skills and abilities that build on emotional intelligence, thus allowing for greater effectiveness in the workplace.

Change can occur in one's emotional competencies, as shown in a series of longitudinal studies at the Weatherhead School of Management of Case Western Reserve University (Boyatzis, Leonard, Rhee, & Wheeler, 1996). The studies have shown that people can change the complex set of competencies that distinguish outstanding performers in management and professions. Results of this research have shown that emotional intelligence competencies can be significantly improved, and moreover, these improvements are sustainable over time (Boyatzis, Cowan, & Kolb, 1995). Leonard (1996) showed that Masters of Business Administration (MBA) students who set goals for continued improvement after the program changed significantly on those competencies as compared to other MBAs.

Even though there are many studies about emotional intelligence training and development that show a high success rate, close inspection of the literature reflects few published reports of well designed, psychometrically rigorous emotional intelligence studies (Groves, McEnrue, & Shen, 2008). Groves et al (2008) found three general issues embedded within several emotional intelligence training studies. First, there are emotional intelligence conceptual and measurement concerns including differences between traits and outcomes, and emotional intelligence skills and abilities. Secondly, there is limited information concerning the training treatment and short duration of the

treatment. And lastly, there is an absence of a control group and/or necessary statistical controls. To control for these factors, Groves et al (2008) completed research which determined that it is possible to enhance emotional intelligence of individuals through deliberate training.

Should a school district choose to complete a training regimen, it is important to consider the provider of the training. Training providers need to focus on real world situations and present the information in practical and easy to understand terms. McGinness and Bauld (2006) reported that the prospective provider should be able to explain how the program information will relate to overall organizational strategy, how participants will achieve a high potential, and demonstrate drive, commitment and initiative in the performance of their day to day responsibilities. Social and emotional learning takes a large amount of time, effort, and an increase in the potential threat to one's self-esteem. It is extremely important for trainers to monitor the individual's motivation and intervene to bolster it, thus creating a positive relationship (Cherniss, Goleman, Emmerling, et al., 1998).

There are several ways in which a trainer can enhance positive training among participants. First, a positive relationship between the trainer and the learner is very important. Trainers who exhibit attributes of emotional intelligence such as being empathic, warm, and genuine develop more positive relationships with participants in behavior change programs (Cherniss, Goleman, Emmerling, et al., 1998). Secondly, the trainer should also adapt the training to match the person's needs, goals, and learning style preferences. People are different and no one approach to social and emotional learning will work well for everyone. A third way a trainer can develop a positive

relationship with participants is through self-disclosure. In self-disclosure, trainers share their own experiences in coping with various aspects of the job, how to handle various barriers and setbacks, having persistence in the face of these barriers, and then ultimately gaining success. When participants are able to identify with and admire the trainers, social and emotional learning is facilitated (Caplan, Vinokur, & Price, 1997).

Conclusion

The principal is faced with the daunting task of leading people in the right direction while dealing with a multitude of dilemmas including a lack of funding, parents who want more control over educational decisions, as well as health and social issues. Leadership is the key to educational success, but the principal must be able to form useful relationships that impact teachers, thus leading to student achievement. One way to impact principal performance is to develop emotional intelligence and self-efficacy. Salovey and Mayer (1990) first introduced emotional intelligence and defined emotional intelligence as “a form of social intelligence that involves the ability to monitor one’s own and others’ feelings and emotions, to discriminate among them, and use this information to guide one’s thinking and action” (p.189). Salovey and Mayer (1997) proposed that emotional intelligence is largely developmental, with mental aptitudes fitting within the general matrix of self and the ability to recognize or regulate emotion. Bandura (1994) defined perceived self-efficacy as “people's beliefs about their capabilities to produce designated levels of performance that exercise influence over events that affect their lives” (p. 71). Self-efficacy has been associated with increased individual and organizational performance (Bandura, 1997; Stajkovic & Luthans, 1998); therefore, “practitioners can improve performance through increased self-efficacy by

investing in emotional intelligence training” (Gundlach, Martinko, & Douglas, 2003, p. 241).

CHAPTER THREE

RESEARCH DESIGN AND METHODOLOGY

Introduction

This study evaluated the level of emotional intelligence and self-efficacy of first and second year principals in an attempt to determine if a relationship exists between the two attributes. Effective principals need more than cognitive knowledge and ability; they need a degree of emotional intelligence. The perceived capabilities affect the development of functional leadership strategies and the skillful execution of the strategies, and impact cognitive and behavioral functions necessary to regulate group processes (McCormick, 2001). Research indicates that workplace outcomes can be impacted by the connection between emotional intelligence and self-efficacy through causal reasoning processes and emotions (Gundlach, Martinko, Douglas, 2003), impacting a person's ability to control his self-efficacy beliefs. The study also compared levels of emotional intelligence and self-efficacy between first and second year principals. This chapter will outline the rationale for using a quantitative study, the research questions, and research methodology.

Statement of the Problem

Little research has been conducted on the relationship of emotional intelligence and self-efficacy of principals, although there have been numerous research studies about leader emotional intelligence and teacher self-efficacy. With the emergence of emotional intelligence impacting leadership styles, Goleman (1998a) suggested that 80 to 90 percent of the competencies that distinguish outstanding leaders from average leaders are related to emotional intelligence. Self-efficacy, or the perceived capabilities of one's self, effect

the development of functional leadership strategies and the skillful execution of those strategies, and impact cognitive and behavioral functions necessary to regulate group processes (McCormick, 2001). Chan (2007) and Mikolajczak and Luminet (2007) found that individuals who exhibited high emotional intelligence had high self-efficacy.

Purpose of the Study

Research indicates that workplace outcomes can be impacted by the connection of emotional intelligence with self-efficacy through causal reasoning processes and emotions (Gundlach, Martinko, Douglas, 2003), thus impacting a person's ability to control his self-efficacy beliefs. The purpose of the study is to determine the level of emotional intelligence and self-efficacy in first and second year principals in Missouri. The study will also compare levels of emotional intelligence and self-efficacy between first and second year principals.

Research Questions

The following research questions guided the study:

1. What is the overall emotional intelligence level of first and second year principals?
2. What emotional intelligence factors do first and second year principals measure?
3. How do emotional intelligence factors compare between first and second year principals?
4. What level of self-efficacy do first and second year principals measure?
5. What competencies of self-efficacy do first and second year principals measure?

6. How do competencies of self-efficacy compare between first and second year principals?
7. What is the relationship between emotional intelligence and self-efficacy of first and second year principals?

Rationale for Quantitative Methods

Research is at times mistaken for gathering information, documenting facts, and rummaging for information (Leedy & Ormrod, 2001). There are generally three types of research: quantitative, qualitative, and mixed methods. This research study will employ quantitative research. Quantitative research is used to examine the relationship among variables. Instruments, such as surveys, are used to measure the variables so that numbered data can be analyzed using statistical procedures. By studying a sample of a population, survey research provides a numeric description of trends, attitudes, or opinions of that population (Cresswell, 2003). “Quantitative researchers seek explanations and predictions that will generate to other persons and places. The intent is to establish, confirm, or validate relationships and to develop generalizations that contribute to theory” (Leedy & Ormrod, 2001, p. 102). The findings of quantitative research can be predictive, explanatory, and confirmatory. Data collected from quantitative research is placed into mathematical models that are typically numeric.

Two types of quantitative research will be applied to this study, descriptive research and correlational research. Descriptive research examines the situation as it exists in its current state. Descriptive research identifies attributes of a particular phenomenon based on an observational basis, or the exploration of correlation between two or more variables (Williams, 2007). Correlational research examines the differences

between the two characteristics of the study group. The statistical analysis of the research questions will be conducted through a sequence of analyses using a standard test for correlation that produces a result called the Pearson Correlation Coefficient.

Quantitative research has several advantages. First, the researcher is distanced from the participant, thus the findings should not be influenced by the researcher. Secondly, the emphasis of quantitative research is the design in which data can be analysed by statistics to support or disprove claims. Thirdly, there is a removal of errors, values, and biases (Connole, 2000). Fourthly, there is an emphasis on replication, prediction and control. Lastly, the data that are received are based on the “notion that events occur according to regular laws and, as such, human behavior can be viewed as an outcome of antecedent environmental events” (Connole, 2000, p. 41).

Quantitative methodology has clear limitations. The research instruments are open to the possibility for misunderstanding, and there can be a lack of control over meaningless, ambiguous, or illegible answers. The response rate is beyond the control of the researcher and there can be more room for response bias by the participants (Halpin, 2009). The data can be restrictive, meaning a researcher can only deal with the data received. When surveys are used as a research method, the researcher tends to capture phenomena at the moment.

Research Methodology

The research collected involved surveys and is quantitative in nature. Quantitative data allows the researcher to present data in a descriptive form and to also determine possible relationships between two or more quantitative variables (Fraenkel

& Wallen, 2003). Quantitative research involving correlations “describes the degree to which two or more quantitative variables are related...” (Fraenkel & Wallen, 2003, p. 338).

To address ethical considerations of human subjects, this proposal was approved by the University of Missouri Institutional Review Board (IRB). All study participants involved in the research were informed of their rights and were required to agree to their informed consent. Three ethical guidelines were followed to protect the human subjects of research involved this study. Protection of participants from harm, assurance of the confidentiality and security of research data, and avoidance of deceiving subjects involved in the research were addressed (Fraenkel & Wallen, 2003). All participating first and second year principals received consent forms granting permission for participation in this study. Consent forms also described their rights to voluntarily participate in the study, to withdraw from participation at any time, to ask questions, and to have confidentiality respected throughout the research project.

Population and Sample

The population for this study was first and second year principals in the state of Missouri. According to the Missouri Department of Elementary and Secondary Education (2010), there were currently 75 first year school principals and 177 principals in their second year of administration during the 2009 – 2010 school year. The list of participants and their e-mails were acquired from Missouri Department of Secondary and Elementary Education (MODESE). First and second year principals in Missouri during the 2009-2010 school year were contacted to participate in the study.

Data Collection and Instrumentation

The information collected involved the use of an on-line survey administered to first and second year principals. First and second year principals are defined as administrators who have no other experience as a principal in Missouri or in another state. Participants were contacted via email to solicit their participation in this study. All participant surveys were completed through the internet using the survey builder website, Survey Monkey. Two weeks after initial contact, a reminder e-mail was sent out to all participants, with a third reminder sent two weeks later.

Two surveys for this study were used to determine various demographic data and perceptual data involving emotional intelligence and self-efficacy. First and second year principals were given the Assessing Emotions Scale (Schutte, Malouff, & Bhullar, 2007) and the Principal Sense of Efficacy Scale (PSES), (Tschannen-Moran & Woolfolk Hoy, 2001). Permission to use both instruments was gained from each author via e-mail correspondence or educational research consent.

The Assessing Emotions Scale (AES) is based on Salovey and Mayer's (1990) original model of emotional intelligence. The original model is a self-report model and consists of an appraisal of emotion in self and others, expression of emotion, regulation of emotion in self and others, and utilization of emotion in solving problems. The AES (Schutte, Malouff, & Bhullar, 2007) is a thirty-three-item self-report inventory which focuses on typical emotional intelligence and attempts to assess characteristic or trait emotional intelligence. The subjects rate themselves on the items using a five-point Likert-type scale which may be completed in approximately five minutes. A Likert-type scale is a scale "...with a number of points that provide ordinal scale measurement,"

(Wiersma, 2000, p. 171) and will be used to represent the responses collected from principals. The responses include 1 (strongly disagree), 2 (somewhat disagree), 3 (neither agree nor disagree), 4 (somewhat agree), and 5 (strongly agree). Total scale scores are calculated by reverse coding items 5, 28, and 33 and then summing all items. Scores can range from 33 to 165, with higher scores indicating characteristic emotional intelligence at a greater level.

The Assessing Emotions Scale (AES) conceptualizes the model with four factors: Perception of Emotion, Managing Own Emotions, Managing Others' Emotions, and Utilization of Emotion. Perception of Emotion is the ability to perceive emotions in oneself and others, as well as in objects, art, stories, music, and other stimuli. Managing Own Emotions is the ability to be open to feelings and to modulate them in oneself so as to promote personal understanding and growth. Managing Others' Emotions is the ability to be open to feelings and to modulate them in others so as to promote personal understanding and growth. Utilization of Emotion is the ability to generate, use, and feel emotion as necessary to communicate feelings or employ them in other cognitive processes. The Assessing Emotions Scale has a two-week test-retest reliability reported at .78 for total scale scores (Schutte, N., Malouff, J., Hall, L., Haggerty, D., Cooper, J., Golden, C., & Dornheim, L., (1998).

The second instrument that was used is the Principal Sense of Efficacy Scale (PSES). The PSES is adapted from the Teacher Self-Efficacy Scale (TSES) developed by Tschannen-Moran and Woolfolk Hoy (2001). The measurement is anchored on a nine-point scale using the sentence stem "In your current role as principal, to what extent can you..." The nine-point scale is rated at: 1 = none at all, 3 = very little, 5 = some degree, 7

= quite a bit, and 9 = a great deal. There are 18 items on the test with three subscales in the area of self-efficacy of management, self-efficacy of instructional leadership, and self-efficacy of moral leadership. The scale ranges from a low score of 18 to a high score of 162. Each of the three subscales reported high reliability with .86 for *Principals' Sense of Efficacy for Instruction*, .87 for *Principals' Sense of Efficacy for Management*, and .83 for *Principals' Sense of Efficacy for Moral Leadership* (Tschannen-Moran & Gareis, 2004).

Data Analysis

The analysis of the data was completed in two parts, descriptive and comparative. Descriptive analysis allows the researcher to determine tendencies in data collected on a Likert-type scale. Research questions one, two, four, and five will be descriptive in nature, questions three and six, will be comparative in nature, while question seven will be correlative.

The following statistical methods were conducted to address each research question. Research Question 1 asked, about the overall emotional intelligence level of first and second year principals. The AES survey addressed overall emotional intelligence using a total scaled score. Descriptive statistics, including the frequency distribution, central tendency, and standard deviation were utilized to analyze the data.

Research Question 2 inquired into what emotional intelligence factors first and second year principals' exhibited. Subscales derived from the 33 item AES are those based on factors identified by Petrides and Furnham (2000); Ciarrochi, Chan, and Bajgar (2001); and Saklofske, Austin, and Minski (2003). The four subscales of Perception of Emotion, Managing Own Emotions, Managing Others' Emotions, and Utilization of

Emotion were analyzed as a raw score, distribution, central tendency and standard deviation.

Research Question 3 asked how emotional intelligence factors compare between first and second year principals. Comparative statistics were used to investigate this research question. In order to determine if there is a significant difference in responses, an independent samples t-test was be calculated.

Research Question 4 sought to determine the level of self-efficacy for first and second year principals. The PSES measured an overall score of self-efficacy and was descriptive in nature reporting the frequency distribution, central tendency, and standard deviation.

Research Question 5 examined what self-efficacy competencies first and second year principals in this study exhibit. Subscale competencies in the areas of efficacy for management, instructional leadership, and moral leadership were analyzed using raw score, distribution, central tendency and standard deviation.

Research Question 6 asked how levels of self-efficacy compare between first and second year principals. Comparative statistics were used to investigate this research question. In order to determine if there is a significant difference in responses, an independent samples t-test will be calculated.

Research Question 7 asked if there is a relationship between emotional intelligence and self-efficacy of first and second year principals. Overall scores of emotional intelligence and self-efficacy were compared. A Pearson r correlation coefficient (r) was used to express a degree of relationship between emotional intelligence and self-efficacy. The Pearson r was tested for significance.

Summary

Little research has been conducted on the relationship of emotional intelligence and self-efficacy of principals, although there have been numerous research studies about leader emotional intelligence and teacher self-efficacy. Research indicates that workplace outcomes can be impacted by the effect of emotional intelligences on self-efficacy through causal reasoning processes and emotions (Gundlach, Martinko, & Douglas, 2003), impacting a person's ability to control his/her self-efficacy beliefs. A total of 40 first year principals and 35 second year principals completed surveys. The data were descriptive and comparative in nature. First and second year principals' levels of emotional intelligence were determined with differences noted. The data were used to answer research questions and to create recommendations for programs to assist in the development of first and second year principals.

CHAPTER FOUR

DATA ANALYSIS

Introduction

Preparing principals to be leaders of their organizations should be an important objective for those responsible for improving quality leadership in schools (Tschannen-Moran & Gareis, 2004). Effective principals need more than cognitive knowledge and ability; they need a high degree of emotional intelligence. Research studies have delved into the connection of emotional intelligence and self-efficacy with teachers; however, there is sparse research on the connection with school administrators (McCollum, Kajs, & Minter, 2007; Tschannen-Moran & Gareis, 2004).

Before proceeding with the research, the researcher was required to gain approval from the Institutional Review Board (IRB) of the University of Missouri which would allow the research to be authorized (see Appendix A). Once approval was established, the researcher contacted the Department of Secondary and Elementary Education (DESE) to gain permission to use the first and second year principal contact data base. The representative sample consisted of 75 first year school principals and 177 principals in their second year of administration. The response rate was 40 (53.3%) first year principals and 35 (19.8%) for second year principals.

Basic descriptive statistics were utilized to describe the population being studied. An independent-samples *t*-test was calculated to determine the relationship between factors of emotional intelligence and competencies of self-efficacy of first and second year principals. A Pearson's Product-Moment Correlation Coefficient was calculated to

determine the relationship between the total Assessing Emotions Scale and total principal sense of efficacy.

Research Findings

A quantitative design was employed using two instruments, the Assessing Emotions Scale (AES) (Schutte, Malouff, & Bhullar, 2007) and the Principal Sense of Efficacy Scale (PSES), (Tschannen-Moran, & Woolfolk Hoy, 2001). The instruments were administered to first and second year principals. Data analyses were performed using the Statistical Package for Social Sciences (SPSS) version 18.0. The following research questions guided the study:

1. What is the overall emotional intelligence level of first and second year principals?
2. What emotional intelligence factors do first and second year principals measure?
3. How do emotional intelligence factors compare between first and second year principals?
4. What level of self-efficacy do first and second year principals' measure?
5. What competencies of self-efficacy do first and second year principals measure?
6. How do competencies of self-efficacy compare between first and second year principals?
7. What is the relationship between emotional intelligence and self-efficacy of first and second year principals?

Summary of Findings

Demographics

Seventy-five first and second year principals completed self-assessments using the AES (Schutte, Malouff, & Bhullar, 2007) and the PSES, (Tschannen-Moran, & Woolfolk Hoy, 2001). A demographic questionnaire was also completed by each participant. Table 1 reflects the number of total participants (N=75) and represents a total return rate of 29.8 %. Forty first year principals reflects a return rate of 53.3% and 35 second year principals represents a return rate of 19.8%. Forty-two of the respondents were female (56.0 %), while 33 were male (44.0%).

Table 1

Years Experience as a Principal

<i>Years</i>	<i>n</i>	<i>Percentage</i>
1	40	53.3
2	35	46.7

Gender

Male	33	44.0
Female	42	56.0

The years experience as an assistant principal included 28 (37.3%) with one to five years, 29 (38.7%) with six to ten years assistant principal experience, and 18 (24%) with 11-15 years experience as an assistant principal (see Table 2).

Table 2

Years Experience as an Assistant Principal

Years	n	Percentage
1 - 5	28	37.3
6 – 10	29	38.7
11 – 15	18	24.0

The highest degree attained by the participants included only one who reported their highest degree to be a Bachelors (1.3%). Thirty-nine (52%) reported a Masters degree was their highest attained degree, 20 (26.7%) have earned an Education Specialist, and 15 (20%) have earned a Doctorate (see Table 3).

Table 3

Highest Degree Attained

Degree	n	Percentage
Bachelor	1	1.3
Masters	39	52.0
Specialist	20	26.7
Doctorate	15	20.0

The total years of educational experience included 20 (26.7%) with 6 to 10 years experience, 27 (36.0%) with 11 to 15 years experience, 14 (18.7%) with 16 to 20 years experience, 7 (9.3%) with 21 to 25 years experience, 6 (8.0%) with 26 to 30 years experience, and (1) 1.3% with over 30 years experience (see Table 4).

Table 4

Total Years of Educational Experience

Years	n	Percentage
6 - 10	20	26.7
11 – 15	27	36.0
16 – 20	14	18.7
21 – 25	7	9.3
26 – 30	6	8.0
Over 30	1	1.3

The size of the school district (number of students) in which the principals worked varied greatly. Thirty-three (44.0%) reported working in school districts between 1 and 2,000, 15 (20.0%) recorded working in school districts with 2,001 to 4,000 students, 7 (9.3 %) worked in districts with 4,001 to 6,000 students, 3 (4.0%) worked in districts with 6,001 to 8,000 students, 4 (5.4%) worked in districts between 8,001 and 10,000 students, and 13 (17.3 %) worked in districts between 10,001 and 25,000 students (see Table 5).

Table 5

Size of School District Reflected as Approximate Number of Students

<u>Number of Students</u>	<u>n</u>	<u>Percentage</u>
1 - 2000	33	44.0
2001 - 4000	15	20.0
4001 - 6000	7	9.3
6001 - 8000	3	4.0
8001 – 10000	4	5.4
15001 – 25000	13	17.3

Table 6 reflects the number of students in the building in which the principals work. Twenty-four percent worked in schools with 1-250 students, 42.7% worked in schools with 251-500 students, 24.0% were employed in schools of 501-750 students, 6.7% reported 751-1000 students, while 1.3% had 1,001-1,500 students, and 1.3% reported over 1,500 students in their respective buildings.

Table 6

Total Number of Students in the Building in Which the Principal Works

<u>Number of Students</u>	<u>n</u>	<u>Percentage</u>
1 – 250	18	24.0
251 – 500	32	66.7
501 – 750	18	24.0
751 – 1000	5	6.7
1001 – 1500	1	1.3
Over 1500	1	1.3

There was a wide range of grade level configurations in which principals had leadership. The highest number of respondents (21) reported leadership in grades K-5. The second highest number of respondents (11) worked with grade levels 9-12 and the third highest number of respondents (10) worked with grades 6-7. Forty-four considered themselves to be elementary principals, 26 considered themselves secondary principals, and 5 considered themselves to be a combination of both elementary and secondary principals (see Table 7).

Table 7

Grade Levels and Type of School

<u>Grades</u>	<u>n</u>	<u>Percentage</u>
K – 5	21	28.0
9 – 12	11	14.7
6 – 7	10	13.3
<u>Type of School</u>		
Elementary	44	58.7
Secondary	26	34.7
Both Elem./Sec.	5	6.7

The principals recorded their principal mentoring experience (see Table 8). Of the responders, 26 reported that they have been involved in the Missouri Administrator Mentoring Program (AMP), 11 were first year principals, and 15 were second year principals. Sixty percent had been involved in a district level mentoring program, 4 first year principals recorded no mentoring training, while 0 of the second year principals recorded not being involved in any mentoring program.

Table 8

Principal Mentoring Experience

<u>Program</u>	<u>1st Year</u>	<u>2nd Year</u>
	n	n
AMP	11	15
In District	25	20
None	4	0

The principals reported their training experience in emotional intelligence and self-efficacy (see Table 9). A total of 25 principals reported that they did have training in emotional intelligence, 13 were first year principals and 12 were second year principals. Fifty principals reported that they have not had training in emotional intelligence, with 27 being first year principals and 23 being second year principals. The principals also reported their training experience in self-efficacy training, with 25 stating they have had self-efficacy training. Of those, 12 were first year principals and 13 were second year principals. On the contrary, 50 principals reported that they did not have any training in self-efficacy, with 28 being first year principals and 22 being second year principals.

Table 9

Training in Emotional Intelligence and Self-efficacy

	<u>Emotional Intelligence</u>		<u>Self-efficacy</u>	
	<u>1st Year - n</u>	<u>2nd Year - n</u>	<u>1st Year - n</u>	<u>2nd Year - n</u>
Yes	13	12	12	13
No	27	23	28	22

Research Question Findings

Response scores from the Assessing Emotions Scale (AES) were entered into version 18 of SPSS. The AES conceptualizes four factors: Perception of Emotion, Managing Own Emotions, Managing Others' Emotions, and Utilization of Emotion and has a possible total scaled score ranging from 33 to 165. Higher scaled scores indicate characteristic emotional intelligence at a greater level.

Overall Emotional Intelligence Level

Research Question 1 addressed the overall level of emotional intelligence in first and second year principals using the Assessing Emotions Scale. A total scaled score was developed from the responses of each participant. Table 10 reflects the total scaled score for all first and second year principals ($M = 127.32$, $SD = 17.46$) out of 165.

Table 10

Overall Emotional Intelligence of First and Second Year Principals

<u>Instrument</u>	<u>Mean</u>	<u>Standard deviation</u>
Assessing Emotions Scale	127.32	17.46

Emotional Intelligence Factors

The four factors represented by the Assessing Emotions Scale are Perception of Emotion, Managing Own Emotions, Managing Others Emotions, and Utilization of Emotions. Table 11 reflects the results of each factor. The following results include Perception of Emotion ($M = 36.97$, $SD = 5.23$), Managing Own Emotions ($M = 35.09$,

$SD = 4.97$), Managing Others Emotions ($M = 32.43$, $SD = 4.94$), and Utilization of Emotion ($M = 22.83$, $SD = 4.00$).

Table 11

Emotional Intelligence Factors of First and Second Year Principals

Factor	Mean	Standard deviation
Perception of Emotion	36.97	5.23
Managing Own Emotions	35.09	4.97
Managing Others Emotions	32.43	4.94
Utilization of Emotion	22.83	4.00

Comparison of Emotional Intelligence Factors Between First and Second Year Principals

Table 12 compares emotional intelligence factors between first and second year principals. The mean of the first year principals ($M = 129.53$, $SD = 8.80$) was not significantly different from the mean of second year principals ($M = 128.47$, $SD = 9.65$).

Each factor from the Assessing Emotions Scale between first and second year principals was calculated using an independent samples t -test to compare the mean scores. The Perception of Emotion Subscale for first and second year principals represents no significant difference, $t(72) = 0.39$, $p > .05$. The mean of the 1st year principals ($M = 37.35$, $SD = 2.19$) was not significantly different from the mean of 2nd year principals ($M = 37.62$, $SD = 3.68$).

An independent samples t -test was calculated comparing the mean score of Managing Own Emotions Subscale for first and second year principals. No significant

difference was found, $t(72) = 0.06, p > .05$. The mean of the first year principals ($M = 35.55, SD = 2.88$) was not significantly different from the mean of second year principals ($M = 35.59, SD = 2.78$).

An independent samples t -test was calculated comparing the mean score of Managing Others Emotions Subscale for first and second year principals. No significant difference was found, $t(72) = 1.43, p > .05$. The mean of the first year principals ($M = 33.35, SD = 3.27$) was not significantly different from the mean of second year principals ($M = 32.29, SD = 3.02$).

An independent samples t -test was calculated comparing the mean score of Utilization of Emotions Subscale for first and second year principals. No significant difference was found, $t(72) = 0.43, p > .05$. The mean of the first year principals ($M = 23.28, SD = 2.73$) was not significantly different from the mean of second year principals ($M = 22.97, SD = 3.32$).

Table 12

Comparing Emotional Intelligence Factors between First and Second Year Principals

	Year	n	Mean	Standard deviation
Total Assessing Emotions	1	40	129.53	8.80
	2	35	128.47	9.66
$t(72) = 0.49, p > .05$				
Perception of Emotion	1	40	37.35	2.19
	2	35	37.62	3.68
$t(72) = 0.39, p > .05$				
Managing Own Emotions	1	40	35.55	2.88
	2	35	35.59	2.78
$t(72) = 0.06, p > .05$				
Managing Others Emotions	1	40	33.35	3.27
	2	35	32.29	3.02
$t(72) = 1.43, p > .05$				
Utilization of Emotions	1	40	23.28	2.73
	2	35	22.97	3.32
$t(72) = 0.43, p > .05$				

Self-Efficacy

The Principal Sense of Efficacy Scale (PSES) is an eighteen-item measure that assesses principals' self-perceptions of their capability to accomplish various aspects of school leadership (Tschannen-Moran & Gareis, 2004). Three subscales were coded with six items each, including principals' efficacy for management, principals' efficacies for instructional leadership, and principals' efficacies for moral leadership.

Overall Level of Self-Efficacy

Research Question 4 addressed the total scaled score for self-efficacy from the (PSES). The total scaled score for both first and second year principals was ($M = 131.41$, $SD = 14.07$) of 162. The mean of the first year principals ($M = 130.03$, $SD = 14.16$) was not significantly different from the mean of second year principals ($M = 133.00$, $SD = 14.00$). An independent samples t -test was calculated comparing the mean score of the total score of Principal Sense of Efficacy for first and second year principals. No significant difference was found, $t(73) = 0.91$, $p > .05$ (see Table 13).

Table 13

Level of Self-efficacy of First and Second Year Principals

	Mean	Standard deviation
Total Self-efficacy	131.41	14.00
First Year Principals	130.03	14.16
Second Year Principals	133.00	14.00

$t(73) = 0.91$, $p > .05$

Levels of Self-Efficacy Competencies

Table 14 represents the three competencies of the PSES. First and second year principals exhibit the following self-efficacy competencies: principals efficacy for management ($M = 41.80$, $SD = 5.91$), principals efficacy for instructional leadership ($M = 44.53$, $SD = 5.04$), and principals efficacy for moral leadership ($M = 45.08$, $SD = 5.41$).

Table 14

Comparative Level of Self-Efficacy Competencies of First and Second Year Principal

Subscales	Mean	Standard deviation
Efficacy for Management	41.80	5.91
Efficacy for Instructional Leadership	44.53	5.04
Efficacy for Moral leadership	45.08	5.41

Comparison of Competencies of Self-Efficacy

Each of the three subscale competencies on the PSES were compared using an independent samples *t*-test of the mean score (see Table 15). No significant difference was found for Principals Efficacy for Management, $t(73) = .79, p > .05$. The mean of the first year principals ($M = 41.58, SD = 6.07$) was not significantly different from the mean of second year principals ($M = 42.06, SD = 5.80$).

An independent samples *t*-test was calculated comparing the mean score of Principal's Efficacy for Instructional Leadership Subscale for first and second year principals. No significant difference was found, $t(73) = .66, p > .05$. The mean of the first year principals ($M = 44.18, SD = 5.05$) was not significantly different from the mean of second year principals ($M = 44.94, SD = 5.08$).

An independent samples *t*-test was calculated comparing the mean score of Principal's Efficacy for Moral Leadership Subscale for first and second year principals. No significant difference was found, $t(73) = 1.39, p > .05$. The mean of the first year principals ($M = 44.28, SD = 5.28$) was not significantly different from the mean of second year principals ($M = 46.00, SD = 5.47$).

Table 15

Comparison of Self-Efficacy Competencies Between First and Second Year Principals

Subscale	Year	n	Mean	Standard deviation
Efficacy for Management	1	40	41.58	6.07
	2	35	42.06	5.80
$t(73) = .79, p > .05$				
Efficacy for Instructional Management	1	40	44.18	5.04
	2	35	44.94	5.08
$t(73) = .66, p > .05$				
Efficacy for Moral Leadership	1	40	44.28	5.28
	2	35	46.00	5.47
$t(73) = 1.39, p > .05$				

Relationship Between Emotional Intelligence and Self-Efficacy

Research Question 7 addressed the relationship between emotional intelligence and self-efficacy of first and second year principals. A Pearson's Product-Moment Correlation Coefficient was calculated to determine the relationship between total Principal Sense of Self-Efficacy and Total Assessing Emotions Scale. A moderate positive correlation was found $r(74) = .44, p < .001$, indicating a significant linear relationship between the two variables. Higher scores on one scale seem to suggest an elevated score on the other scale (see Table 16). Figure 1 represents the scatter plot of the relationship between the two variables of Principal Sense of Self-efficacy and Assessing Emotions Scale.

Table 16

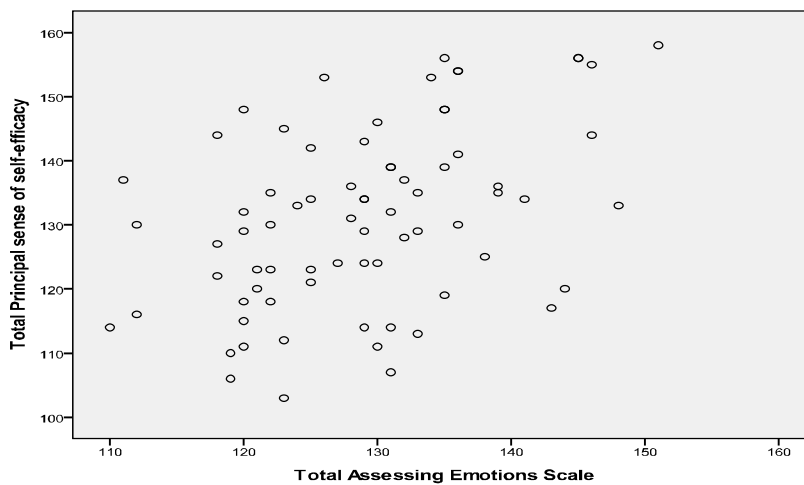
The Relationship Between Emotional Intelligence and Self-efficacy

		Total Assessing Emotions Scale	Total Principal Sense of Self-efficacy
Total Assessing	Pearson Corr.	1	.443**
Emotions Scale	Sig. (2-tailed)		.000
	N	75	75
Total Principal	Pearson Corr.	.443**	1
Sense of Self-efficacy	Sig. (2-tailed)	.000	
	N	75	75

** Correlation is significant at the 0.01 level (2-tailed).
 $r(74) = .44, p < .001$

Figure 1

Scatter Plot of the Relationship Between Total Principal Sense of Efficacy and Total Assessing Emotions Scale



Summary

The first portion of the research included demographic data. There were a total of 75 participants which included 40 first year principals and 35 second year principals. Forty-two of the respondents were female while 33 were male. The years experience as an assistant principal included 28 with one to five years, 29 with six to ten years assistant principal experience, and 18 with 11-15 years experience as an assistant principal. The highest degree attained by the participants included only one who recorded their highest degree to be a Bachelors. Thirty-nine reported Masters degree was their highest attained degree, 20 have earned an Education Specialist, and 15 have earned a Doctorate. There was a wide variety of total years of educational experience which included 26.7% with 6 to 10 years experience, 36.0% with 11 to 15 years experience, 18.7% with 16 to 20 years experience, 9.3% with 21 to 25 years experience, 8.0% with 26 to 30 years experience, and 1.3% with over 30 years experience.

The size of the school district (number of students), in which the principals worked, varied greatly. Thirty-three reported working in school districts between 1 and 2,000 students, 15 recorded working in school districts with 2,001 to 4,000 students, 7 principals worked in districts with 4,001 to 6,000 students, 3 worked in districts with 6,001 to 8,000 students, 4 worked in districts between 8,001 and 10,000 students and 13 worked in districts between 10,001 and 25,000 students. There was a wide range of grade level configurations in which principals had leadership. The highest number of respondents reported leadership in grades K-5. The second highest reported grade levels (included grades 9-12 and the third highest included grades 6-7. Forty-four considered themselves to be elementary principals, 26 considered themselves secondary principals,

and 5 considered themselves to be a combination of both elementary and secondary principals.

The principals recorded their principal mentoring experience. Of the responders, 34.7% reported that they have been involved in the Missouri Administrator Mentoring Program (AMP), 11 were first year principals, and 15 were second year principals. Forty-five principals had been involved in a district level mentoring program, 4 first year principals recorded no mentoring training, and 0 of the second year principals recorded not being involved in any mentoring program.

The principals reported their training experience in emotional intelligence and self-efficacy. A total of 25 principals reported that they did have training in emotional intelligence, 13 were first year principals and 12 were second year principals. Fifty principals reported that they have not had training in emotional intelligence, with 27 being first year principals and 23 being second year principals. The principals also reported their training experience in self-efficacy training, with 25 stating they have had self-efficacy training. Of those, 12 were first year principals and 13 were second year principals. On the contrary, 50 principals reported that they did not have any training in self-efficacy, with 28 being first year principals and 22 being second year principals.

Findings for the research questions came from the Assessing Emotions Scale and the Principal Sense of Efficacy Scale. There was no significant relationship between first and second year principals and emotional intelligence factors, between first and second year principals and self-efficacy competencies, and there is a moderate positive correlation between emotional intelligent factors and self-efficacy of first and second year principals.

The independent samples *t*-test showed no significant difference between first and second year principals and the four factors from the Assessing Emotions Scale which includes Perception of Emotion, Managing Own Emotions, Managing Others' Emotions, and Utilization of Emotion. The independent samples *t*-test showed no significant difference between first and second year principals and the three competencies of the Principals Sense of Efficacy Scale which includes principals' efficacies for management, principals' efficacies for instructional leadership, and principals' efficacies for moral leadership. There was, however, a moderate positive correlation between emotional intelligence and self-efficacy of first and second year principals. In Chapter Five, a synopsis of the overall design of the study, conclusions, limitations, and implications and suggestions for future research are discussed.

CHAPTER FIVE

FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

Introduction

The intent of this study was to investigate emotional intelligence and self-efficacy of first and second year principals. The hope was to add additional knowledge about emotional intelligence and self-efficacy so that mentoring programs, school districts, and administrative preparation programs can more effectively develop principals. Preparing principals to be leaders of their organizations should be an important objective for those responsible for improving quality leadership in schools (Tschannen-Moran, & Gareis, 2004). Effective principals need more than cognitive knowledge and ability; they need a degree of emotional intelligence. Research studies have delved into the connection of emotional intelligence and self-efficacy with teachers; however, there is sparse research on the connection with school administrators (McCollum, Kajs, & Minter, 2007; Tschannen-Moran, & Gareis, 2004).

Overview

The purpose of the study was to determine the level of emotional intelligence and self-efficacy in first and second year principals in Missouri. The study also compared levels of emotional intelligence and self-efficacy between first and second year principals. Research indicates that workplace outcomes can be impacted by the connection of emotional intelligence with self-efficacy through causal reasoning processes and emotions (Gundlach, Martinko, & Douglas, 2003), impacting a person's ability to control his or her self-efficacy beliefs. A quantitative design using two instruments, the Assessing Emotions Scale (AES), (Schutte, Malouff, & Bhullar, 2007)

and the Principal Sense of Self-Efficacy Scale (PSES) (Tschannen-Moran, & Woolfolk Hoy, 2001), was utilized.

Basic descriptive statistics were used to describe the population being studied. An independent-samples *t*-test was calculated to determine the relationship between factors of emotional intelligence and competencies of self-efficacy of first and second year principals. A Pearson's Product-Moment Correlation Coefficient was calculated to determine the relationship between the Total Assessing Emotions Scale and Total Principal Sense of Self-efficacy. The representative sample consisted of 75 first year school principals and 177 principals in their second year of administration. The response rate was 40 (53.3%) first year principals and 35 (19.8%) for second year principals.

Summary of Findings

Demographic Statistics

Analysis of descriptive statistics of survey participants revealed the number of total participants (N=75) represents a total return rate of 29.8 %. Forty first year principals reflects a return rate of 53.3% and 35 second year principals represents a return rate of 19.8%. Over one-half of the respondents were female (N=42; 56.0 %), while 33 (44.0%) were male. The principals had a variety of experience as reported in years as assistant principals including 28 (37.3%) with one to five years, 29 (38.7%) with 6 to 10 years assistant principal experience, and 18 (24%) with 11 to 15 years experience as an assistant principal.

The highest degree attained by the participants included only one (1.3%) with the highest degree as a Bachelor's, 39 (52.0%) with a Masters, 20 (26.7%) with an Education Specialist, and 15 (20%) have a Doctorate. The total years experience included 20

(26.7%) with 6 to 10 years experience, 27 (36.0%) with 11 to 15 years experience, 14 (18.7%) with 16 to 20 years experience, 7 (9.3%) with 21 to 25 years experience, 6 (8.0%) with 26 to 30 years experience, and 1 (1.3%) with over 30 years experience.

The size of the school district represented by the number of students which the principals worked was varied. Thirty-three (44.0%) reported that they worked in school districts between 1 and 2,000 students, 15 (20.0%) with 2,001 to 4,000 students, 7 (9.3%) with 4,001 to 6,000 students, 3 (4.0%) with 6,001 to 8,000 students, 4 (5.4%) with 8,001 to 10,000 students, and 13 (17.3%) with 10,001 to 25,000 students.

There was a wide range of grade configurations in which the principals had worked. A total of 21 (28%) reported being in a building that includes grades K-5. Eleven (14.7%) were principals of building with grades 9-12, and 10 (13.3%) included grades 6-7. Forty-four (58.7%) considered themselves to be elementary principals, 26 (34.7%) considered themselves secondary principals, and 5 (6.7%) considered themselves to be a combination of both elementary and secondary principals.

Twenty-six of the principals (34.7%) had been involved in the Administrator Mentoring Program (AMP); 45 (60.0%) had been involved in district level mentoring, and 4 (5.3%) had not been involved in any mentoring program.

The principals reported their training experience in emotional intelligence and self-efficacy. Twenty-five (33.3%) recorded that they did have training in emotional intelligence, while 50 (66.7%) had no training in emotional intelligence. Twenty-five (33.3%) reported that they had self-efficacy training, while 50 (66.7%) reported that they did not have any training in self-efficacy.

Seven research questions guided the study. A summary of the findings for each research question follows.

Research Question 1

Research Question 1 sought to determine the overall emotional intelligence level of first and second year principals. The average score for first year principals was 129.53 ($SD = 8.80$) and was not significantly different from the mean score of 128.47 ($SD = 9.65$) of second year principals, $t(72) = 0.49$, $p > .05$.

Research Question 2

Research Question 2 addressed the four emotional intelligence factors of Perception of Emotion, Managing Own Emotions, Managing Others Emotions, and Utilization of Emotions that first and second year principals exhibited. Results included: Perception of Emotion ($M = 36.97$, $SD = 5.23$), Managing Own Emotions ($M = 35.09$, $SD = 4.97$), Managing Others Emotions ($M = 32.43$, $SD = 4.94$), and Utilization of Emotion ($M = 22.83$, $SD = 4.00$).

Research Question 3

Research Question 3 was directed to comparing the emotional intelligence factors between first and second year principals. Each factor from the Assessing Emotions Scale between first and second year principals was calculated using an independent samples t -test to compare the mean scores. The Perception of Emotion subscale for first and second year principals represents no significant difference. The mean of the first year principals ($M = 37.35$, $SD = 2.19$) was not significantly different from the mean of second year principals ($M = 37.62$, $SD = 3.68$), $t(72) = 0.39$, $p > .05$.

An independent samples *t*-test was calculated comparing the mean score of Managing Own Emotions subscale for first and second year principals. The mean of the first year principals ($M = 35.55, SD = 2.88$) was not significantly different from the mean of second year principals ($M = 35.59, SD = 2.78$), $t(72) = 0.06, p > .05$

An independent samples *t*-test was calculated comparing the mean score of Managing Others Emotions subscale for first and second year principals. The mean of the first year principals ($M = 33.35, SD = 3.27$) was not significantly different from the mean of second year principals ($M = 32.29, SD = 3.02$), $t(72) = 1.43, p > .05$.

An independent samples *t*-test was calculated comparing the mean score of Utilization of Emotions subscale for first and second year principals. The mean of the first year principals ($M = 23.28, SD = 2.73$) was not significantly different from the mean of second year principals ($M = 22.97, SD = 3.32$), $t(72) = 0.43, p > .05$.

Research Question 4

Research Question 4 revealed the level of self-efficacy of first and second year principals. The mean of the first year principals ($M = 130.03, SD = 14.163$) was not significantly different from the mean of second year principals ($M = 133.00, SD = 14.00$), $t(73) = 0.91, p > .05$.

Research Question 5

Research Question 5 focused on the three competencies of self-efficacy that first and second year principals exhibit. First and second year principals exhibit the following self-efficacy competencies: principals' efficacies for management ($M = 41.80, SD = 5.91$), principals' efficacies for instructional leadership ($M = 44.53, SD = 5.04$), and principals efficacy for moral leadership ($M = 45.08, SD = 5.41$).

Research Question 6

Research Question 6 compared the competencies of self-efficacy between first and second year principals. Each of the three subscale competencies on the PSES were compared using an independent samples *t*-test of the mean score. No significant difference was found for Principals Efficacy for Management, $t(73) = .79, p > .05$. The mean of the first year principals ($M = 41.58, SD = 6.07$) was not significantly different from the mean of second year principals ($M = 42.06, SD = 5.80$).

An independent samples *t*-test was calculated comparing the mean score of Principal's Efficacy for Instructional Leadership Subscale for first and second year principals. No significant difference was found, $t(73) = .66, p > .05$. The mean of the first year principals ($M = 44.18, SD = 5.05$) was not significantly different from the mean of second year principals ($M = 44.94, SD = 5.08$).

An independent samples *t*-test was calculated comparing the mean score of Principal's Efficacy for Moral Leadership Subscale for first and second year principals. No significant difference was found, $t(73) = 1.39, p > .05$. The mean of the first year principals ($M = 44.28, SD = 5.28$) was not significantly different from the mean of second year principals ($M = 46.00, SD = 5.47$).

Research Question 7

Research Question 7 compared the relationship between emotional intelligence and self-efficacy of first and second year principals. A Pearson's Product-Moment Correlation Coefficient was calculated to determine the relationship between total Principal Sense of Self-Efficacy and Total Assessing Emotions Scale. A moderate positive correlation was found $r(74) = .44, p < .001$, indicating a significant linear

relationship between the two variables. Higher scores on one scale seem to suggest a high score on the other scale.

Discussion of Findings

The research embedded in this paper provided insight into the emotional intelligence and self-efficacy of first and second year principals. This section will provide a link between the study's findings and relevant research to assist in the understanding of the importance of emotional intelligence and self-efficacy of first and second year principals.

Research Question 1

The level of emotional intelligence of principals is a predictor of success. The characteristics of leaders possessing a high level of emotional intelligence include setting goals that are clear and mutually agreed upon, preferring praise as a tool for training and inspiring employees, relying on decentralization for achieving their goals, focusing on employees and their feelings, and being role models (Saavedra, 2000). The results from this study indicate that both first and second year principals have a relatively high level of emotional intelligence. First year principals scored an average of 129.53 while second year principals scored 128.47. The results could reflect a low response to being trained in emotional intelligence, as only 25 (33.3%), reported being trained in this area. The author surmises that the data reflecting training in emotional intelligence may even be lower as no specific training in emotional intelligence is noted in Missouri mentoring programs.

Research Questions 2 and 3

Research Questions 2 and 3 addressed the four emotional intelligence factors of Perception of Emotion, Managing Own Emotions, Managing Others Emotions, and

Utilization of Emotions. The data indicate there is no significant difference between first and second year principals for each of the four sub-scales.

First and second year principals scored 36.97 of the subscale in the area of perception of emotion. This is the ability to perceive emotion in oneself and others. This subscale is important when principals are faced with emotional dilemmas and take corrective action. The principal must be able to communicate effectively and by recognizing their own emotions, principals can regulate emotions and impulses and will be better able to adapt to changing circumstances. Empathy and social skills provide the principal with the ability to understand the emotional makeup of people. When principals are able to relate empathetically with people, positive relationships are formed and stronger support is gained. Sensitivity is key for superior job performance whenever the focus is on interactions with people (Goleman, 2000).

With managing own emotions, first and second year principals scored 35.09. Managing own emotions is the ability to manage emotions “in context of the individual’s goals, self knowledge, and social awareness” (Mayer, Salovey, & Caruso, 2004, p. 199). Principals scored fairly high at this level and this indicates that they are adaptable in changing situations, have emotional self-control in service of a group, are proactive, achievement oriented, trustworthy, and have a positive view of life and the future. Signs of this competence can also include being low key in stressful situations or dealing with a hostile person without responding negatively in return. The results may indicate that mentoring programs have helped principals indirectly in the area of managing own emotions.

In the area of managing others emotions, first and second year principals scored 32.43. Managing others emotions is the ability to be open to feelings and to modulate them in others so as to promote personal understanding and growth. First and second year principals do a good job of taking employees' feelings into thoughtful consideration and then make intelligent decisions based on the overall feelings of the constituents. The most effective principals sense others' reactions and adapt their own responses to move social interaction in the most positive direction. By positively managing others emotions, principals can foster open and positive communication with constituents. This score may also be indicative of the support given to first and second year principals via mentoring programs or other support factions such as central office.

In the area of utilization of emotion, first and second year principals scored 22.83, which is a lower score of the four emotional intelligence factors. Utilization of emotion is the ability to generate, use, and feel emotion as necessary to communicate feelings or employ them in other cognitive processes (Mayer, Salovey, & Caruso, 2008). First and second year principals may find it difficult to approach employees after emotional situations or use the knowledge that they have gained to solve problems. Principals might find it difficult to deal with anticipatory problems possibly creating a larger dilemma. Principals who do not gain the upper hand can be reactive rather than proactive. When a principal lacks the farsightedness of immediate situations, they can make the critical difference between a wise decision and a poor one. Preparation programs can assist with this area of emotional intelligence by providing active participatory work and modeling.

First and second year principals are in the infancy of the job, and this may account for the similar results reflected in the data. However, the importance of gaining a base level of information in regards to emotional intelligence should not be understated. Principals can be better leaders by being self aware and recognizing that emotional intelligence can be improved through deliberate training.

Research Question 4

Research Question 4 addressed the level of self-efficacy of first and second year principals. Principals with positive self-efficacy are able to perform at a higher level. The perceived capabilities effect the development of functional leadership strategies, the skillful execution of the strategies, and impact cognitive and behavioral functions necessary to regulate group processes (McCormick, 2001). Together, first and second year principals scored an average of 131.41. There was no significant difference between the levels of self-efficacy of first and second year principals. First year principals scored an average of 130.03, and second year principals scored an average of 133.00. Of all participants, only 25 reflected that they have had some type of self-efficacy training which may explain a lower self-efficacy score.

Research Questions 5 and 6

Research Questions 5 and 6 focused on the three competencies of self-efficacy that first and second year principals' exhibit. The three sub-scales of self-efficacy are principals' efficacy for management, principals' efficacy for instructional leadership, and principals' efficacy for moral leadership. There was no significant difference between first and second year principals and the measured competencies. The similar experience

level between first and second year principals could account for the low significance level.

First and second year principals scored an average of 41.80 in the area of efficacy for management. Efficacy for management is the ability to handle the required paperwork of the job, prioritize competing demands of the job, and shape operational policies and procedures. First and second year principals feel as though they can handle the management side of leadership. Preparation and mentoring programs may have a larger impact on principal's ability to handle the daily task of management, thus creating a higher level of self-efficacy in this area.

First and second year principals scored an average of 44.53 in the area of efficacy for instructional leadership. Efficacy for instructional leadership involves creating a positive learning environment, facilitating student learning, and generating a shared vision. Student learning and achievement levels of students are at the frontline of what principals need to put their efforts toward. Preparation programs and mentoring programs are usually focused on instructional leadership so it is no wonder that the efficacy level of principals would be a high score in the area of instructional leadership.

The third competency, efficacy for moral leadership, is reflected with a score of 45.08. Efficacy for moral leadership is promoting ethical behavior among school personnel, promoting school spirit among the majority of the student population, and promoting a positive image of the school via media. There was no significant difference between first and second year principals in the competencies. Principals believe they have a good grasp for efficacy of moral leadership. Efficacy for moral leadership has a

higher rating as principals try to counter a negative economy and a rigorous testing calendar; thus, they are trying to maintain morale and a positive school climate.

The overall efficacy level for first and second year principals is average to above average. This is accounted for by being in the job with little experience, having little or no training in the area of self-efficacy, and learning how to manage the position of being the principal. Initial preparation and mentoring programs may positively impact a principals efficacy for management, efficacy for instructional leadership, and efficacy for moral leadership. Having a strong support system such as central office and mentoring programs may also account for higher than average self-efficacy of principals. Principals with positive self-efficacies are able to perform at a more advanced level. The perceived capabilities effect the development of functional leadership strategies, the skillful execution of the strategies, and impact cognitive and behavioral functions necessary to regulate group processes (McCormick, 2001).

Research Question 7

Research Question 7 compared the relationship between emotional intelligence and self-efficacy of first and second year principals. Gundlach, Martinko, and Douglas (2003) summed up the connection of emotional intelligence and self-efficacy:

When employees control their emotions, make accurate attributions for past workplace events, and objectively understand how their emotions and attributions influence their thoughts, feelings, and expectancies about future workplace events, they are better able to enhance self-efficacy beliefs. On the other hand, when organizational members are unable to control their emotions and fail to

make objective attributions for causation, it is likely that they will underestimate their capabilities and their self-efficacy perceptions will suffer. (p. 240)

Data from the survey reflect there is a moderate positive correlation between a high emotional intelligence score and self-efficacy. Higher scores on one scale seem to suggest a high score on the other scale. The relationship of both emotional intelligence and self-efficacy is reflected in the data. Emotional intelligence and self-efficacy merge as an individual interprets organizational realities by the ability to recognize thoughts, feelings, and behaviors through self-awareness, regulation, and control (Bandura, 1997). Chan (2007) and Mikolajczak and Luminet (2007) found that individuals who exhibited high emotional intelligence had high self-efficacy. A stronger relationship could result with more awareness and training in preparation and mentoring programs.

Implications for Practice

This study investigated the levels of emotional intelligence and self-efficacy of first and second year principals in Missouri. The study's findings have direct implications on principals, the schools in which they lead, preparation programs, and mentoring programs both at the district and the state level. Survey responses indicate the principals in this study come from a wide range of school sizes. They also have a wide range of years experience and continuing education, which is likely an indication of principals throughout the state of Missouri. While 33% reported receiving training in emotional intelligence and self efficacy, it is this researcher's opinion that it is unlikely that training was formalized in many of those instances.

New school leaders are in a crucial position to develop, maintain, and reform an effective school (Hausman, Crow, & Sperry, 2000). Effective principals need more than

cognitive knowledge and ability; they need a high degree of emotional intelligence. The characteristics of leaders possessing a high level of emotional intelligence include setting goals that are clear and mutually agreed upon, preferring praise as a tool for training and inspiring employees, relying on decentralization for achieving their goals, focusing on employees and their feelings, and being role models (Saavedra, 2000). The data show that first and second year principals are on the verge of being highly emotionally intelligent and that support is needed to get to the next level. With the large array of emotional intelligence models, there is a growing body of evidence that suggests that whatever emotional intelligence is, emotional intelligence seems to be relevant to the workplace, can be promoted through training, and potentially has significant implications to the bottom line (Cherniss & Goleman, 2001).

Improving the level of self-efficacy of principals is important. Self-efficacy is another contributing factor in the success of the principal as the efficacy level is a major factor in whether a school is effective or ineffective (DeMoulin, 1993). People with a strong sense of self-efficacy have several positive attributes, including having a high assurance in their capabilities to approach difficult tasks, staying involved in activities, setting challenging goals and maintaining a strong commitment to them, having a heightened and sustained effort after failures and setbacks, and then quickly recovering their positive self-efficacy (Bandura, 1994). Principals with positive self-efficacy are able to perform at a higher level. The perceived capabilities effect the development of functional leadership strategies, the skillful execution of the strategies, and impact cognitive and behavioral functions necessary to regulate group processes (McCormick,

2001). The levels of self-efficacy in the areas of management, instruction, and moral leadership can be improved by being involved in a formal or planned training regimen.

Programs whose objective is to improve quality leadership in schools should invest in improving emotional intelligence and self-efficacy. Emotional intelligence and self-efficacy can be enhanced through preparation, induction, and mentoring programs. Studies conducted by Groves, McEnrue, and Shen (2008) and McEnrue, Groves, and Shen (2009) indicate that emotional intelligence training in individuals can be enhanced through deliberate training. Individuals who had a high receptivity to feedback showed higher gains in emotional intelligence. Individuals who believe they are capable of carrying out the actions required to enhance their development helps to predict emotional intelligence training gains. Groves et al (2008) found three general issues embedded within several emotional intelligence training studies. First, there are emotional intelligence conceptual and measurement concerns including differences between traits and outcomes and emotional intelligence skills and abilities. Secondly, there is limited information concerning the training treatment and short duration of the treatment. And lastly, there is an absence of a control group and/or necessary statistical controls. To control for these factors, Groves et al (2008) completed research which determined that it is possible to enhance emotional intelligence of individuals through deliberate training.

Bandura (2000) recommended three specific approaches for developing self-efficacy in managers. First, guided mastery, which includes instructive modeling to acquire a skill or competency and guided skill perfection. The events are then transferred to the job to ensure self-directed leadership success. Secondly, cognitive mastery modeling is utilized. Novice principals learn thinking skills and how to apply them by

observing the decision rules and reasoning strategies used by successful models. The last strategy is the understanding of self-regulatory competencies. The novice principal uses self-monitoring, self-efficacy appraisal, personal goal setting, and the use of self-motivation incentives. Deliberate training in emotional intelligence and self-efficacy should become part of principal preparation programs and mentoring programs.

Principal preparation programs should embed emotional intelligence and self-efficacy in their curriculum in an effort to develop the necessary practices to prepare others to be effective leaders. Tschannen-Moran and Garies (2005) found that initial preparation of principals proved to be factor related to a principal's sense of self-efficacy. Preparation programs can give an overview of emotional intelligence and model situations that develop a more positive self-efficacy in individuals.

The author feels that deliberate training in emotional intelligence and self-efficacy should occur via principal mentoring programs. Two year mentoring programs may possibly be the necessary time frame to create emotionally intelligent and self-efficacious principals. Principal mentoring programs allow the greatest opportunity for mentors and new principals to develop the necessary emotional awareness when principals are deeply involved in their jobs. Specific situations in the actual school setting can impact a person's emotions. These emotions can vary greatly with each individual person. However, as new experiences are encountered during a person's life, emotional intelligence competencies are continually being learned. Enhancing emotional intelligence is a challenging process requiring specific practice and sustained motivation. The provider or trainer of emotional intelligence and self-efficacy must be knowledgeable in the training process.

Limitations

This study encountered a number of limitations which had the potential to weaken the data collected. The following limitations impacted the results of this study:

1. The study was limited to first and second year principals of Missouri. The results are assumed to be a representative sample of first and second year principals in Missouri.
2. The study was limited to those individuals who chose to consent to the parameters of the study.
3. It was assumed that first and second year principals based their responses on their own experiences and emotions.
4. The study was limited by email spam blockers that did not allow the survey to be presented to a number of first and second year principals. This limited the size of the study population.
5. Two large school districts did not support the research being conducted in their school districts. One district denied research and another school district did not respond to a written proposal. This also limited the size of the study population.

Recommendations for Further Research

To enhance the professional level of first and second year principals more research is needed. The following are possible areas to investigate:

1. Research the enhancement of emotional intelligence and self-efficacy of professional educators should be conducted. There is an array of training and developmental models to enhance emotional intelligence and self-efficacy.

The best method to improve emotional intelligence and self-efficacy should be researched to find the best fit model for each specific program.

2. Research to determine if there is a significant difference in emotional intelligence and self-efficacy between first year principals and veteran, experienced administrators. Research should be conducted to determine if emotional intelligence and self-efficacy improve with more experience.
3. Use a more in-depth measure to determine a deeper level of emotional intelligence of principals in Missouri. Several measures are available including the EQ-I, ECI-2, and the MSCEIT. Researchers should be aware that other measures may take longer to complete.
4. Determine levels of emotional intelligence and self-efficacy using pre- and post-testing of principals to establish if training has an impact on factors and competencies of emotional intelligence and self-efficacy.
5. Further research on types of emotional intelligence training and the providers of the training to determine the best practices.

Summary of the Study

The level of emotional intelligence of principals is a predictor of success. The characteristics of leaders possessing a high level of emotional intelligence include setting goals that are clear and mutually agreed upon, preferring praise as a tool for training and inspiring employees, relying on decentralization for achieving their goals, focusing on employees and their feelings, and being role models (Saavedra, 2000). The results from this study indicate that both first and second year principals have a relatively high level of emotional intelligence.

No significant differences were found between first and second year principals with the factors of emotional intelligence and the competencies of self-efficacy. One moderately positive correlation did exist between the overall scaled scores of emotional intelligence and self-efficacy. Although there was not a significant difference between first and second year principals, the data showed the levels of emotional intelligence and self-efficacy are at an average level and could be improved.

This study is important for principal preparation programs, mentoring programs, and professional development centers to enhance the leadership of principals by investing in training for emotional intelligence and self-efficacy. Self-efficacy has been associated with increased individual and organizational performance (Bandura, 1997; Stajkovic & Luthans, 1998); thus, “practitioners can improve performance through increased self-efficacy by investing in emotional intelligence training” (Gundlach, Martinko, & Douglas, 2003, p. 241).

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APPENDIX A

Friday June 4, 2010

Dear Investigator:

Your human subject research project entitled THE RELATIONSHIP OF EMOTIONAL INTELLIGENCE AND SELF EFFICACY OF FIRST AND SECOND YEAR PRINCIPALS IN MISSOURI meets the criteria for EXEMPT APPROVAL and will expire on June 04, 2011. Your approval will be contingent upon your agreement to annually submit the "Annual Exempt Research Certification" form to maintain current IRB approval. You must submit the Annual Exempt Research Certification form 30 days prior to the expiration date. Failure to timely submit the certification form by the deadline will result in automatic expiration of IRB approval.

Study Changes: If you wish to revise your exempt project, you must complete the Exempt Amendment Form for review.

Please be aware that all human subject research activities must receive prior approval by the IRB prior to initiation, regardless of the review level status. If you have any questions regarding the IRB process, do not hesitate to contact the Campus IRB office at (573) 882-9585.

Campus Institutional Review Board

APPENDIX B

CONSENT FORM

Identification of Researchers: This research is being done by Kurt S. Ream, a graduate student of the University of Missouri with the Education Leadership Program.

Purpose of the Study: The purpose of this research is to determine the level of emotional intelligence and self-efficacy of first and second year principals.

Request for Participation: We are inviting you to participate in a study on emotional intelligence and self-efficacy. It is up to you whether you would like to participate. If you decide not to participate, you will not be penalized in any way. You can also decide to stop at any time without penalty.

Exclusions: You must be a first or second year principal in the state of Missouri with no prior experience.

Description of Research Method: The research involves completing a two short surveys. The survey will ask you about your age, level of education, and gender. The Assessing Emotions Scale (AES) is a 33 item self-report inventory which focuses on typical emotional intelligence and attempts to assess characteristic or trait emotional intelligence. The AES will take approximately 12 minutes to complete. The Principal Sense of Self-efficacy scale (PSES) is a 18 item self-report inventory which determines self-efficacy in three management areas required in the job of being a principal. Please note that we cannot give you your individual results because the data are anonymous.

Privacy: All of the information we collect will be anonymous. We will not record your name, school, or school district in which you are employed or any information that could be used to identify you.

Explanation of Risks: The risks to this study are similar to the risks of everyday life.

Explanation of Benefits: Your participation in this research project will enrich the educational information base and you can benefit from participating in this study by getting firsthand experience in educational research. You can also be involved in self reflection of your current educational experience. The findings could help first and second year principals and school districts to understand how emotional intelligence and self-efficacy can impact professional success.

Questions about Your Rights: If you have any questions about your rights as a research participant, please contact the Campus Institutional Review Board (IRB) at (573) 882-9585, University of Missouri.

Your completion of this survey signifies your informed consent.

APPENDIX C

Monday, January 4, 2010 12:53 PM

Hello Nicola Schutte,

A few months ago I requested the Assessing Emotions Scale. I will use this instrument in my research and dissertation writing. I have recently shifted my focus of my research to the relationship of emotional intelligence and self efficacy in first and second year principals.

I was wondering if I could gain permission to use the ESES Scale in my research with any other information about the test (Reliability, Validity, etc.)? I found the information you sent with the Assessing Emotions Scale to be very helpful.

Thank you,

Kurt Ream

Hi. You are welcome to use the scale for your research. There are no forms that need to be completed.

Best wishes,
Nicola Schutte

APPENDIX D

Demographic Data Survey

Please select the appropriate answer.

1. What is your gender? Male Female
2. What is the highest degree you have attained? Bachelor Masters Specialist
Doctorate
3. What is your total years of educational experience? 1-5 6-10 11-15 16-20
21-25 26-30
4. What is your years experience as a principal? 1 2
5. What is your years experience as an assistant principal? 0 1-5 6-10 11-15
16-20 21-25 26-30
6. What is the size of your school district, number of students? (Record the approximate number of students in your school district).
7. You are an elementary or secondary principal?
Elementary Secondary Combination of both
8. What are the grade levels of the school you are principal? (Choose all that apply).
K 1 2 3 4 5 6 7 8 9 10 11 12
9. What is the number of students in your school?
1-250 251-500 501-750 751-1000 1001-1500 Over 1500
10. What best describes your principal mentoring experience?
AMP
In District
None
11. Have you had any training in Emotional Intelligence? Yes No
12. Have you had any training in Self-efficacy? Yes No

APPENDIX E

The Assessing Emotions Scale

Directions: Each of the following items asks you about your emotions or reactions associated with emotions. After deciding whether a statement is generally true for you, use the 5-point scale to respond to the statement. Please circle the “1” if you strongly disagree that this is like you, the “2” if you somewhat disagree that this is like you, “3” if you neither agree nor disagree that this is like you, the “4” if you somewhat agree that this is like you, and the “5” if you strongly agree that this is like you.

There are no right or wrong answers. Please give the response that best describes you.

1 = strongly disagree 2 = somewhat disagree 3 = neither agree nor disagree
4 = somewhat agree 5 = strongly agree

- | | | | | | |
|--|---|---|---|---|---|
| 1. I know when to speak about my personal problems to others. | 1 | 2 | 3 | 4 | 5 |
| 2. When I am faced with obstacles, I remember times I faced similar obstacles and overcame them. | 1 | 2 | 3 | 4 | 5 |
| 3. I expect that I will do well on most things I try. | 1 | 2 | 3 | 4 | 5 |
| 4. Other people find it easy to confide in me. | 1 | 2 | 3 | 4 | 5 |
| 5. I find it hard to understand the non-verbal messages of other people. | 1 | 2 | 3 | 4 | 5 |
| 6. Some of the major events of my life have led me to re-evaluate what is important and not important. | 1 | 2 | 3 | 4 | 5 |
| 7. When my mood changes, I see new possibilities. | 1 | 2 | 3 | 4 | 5 |
| 8. Emotions are one of the things that make my life worth living. | 1 | 2 | 3 | 4 | 5 |
| 9. I am aware of my emotions as I experience them. | 1 | 2 | 3 | 4 | 5 |
| 10. I expect good things to happen. | 1 | 2 | 3 | 4 | 5 |
| 11. I like to share my emotions with others. | 1 | 2 | 3 | 4 | 5 |
| 12. When I experience a positive emotion, I know how to make it last. | 1 | 2 | 3 | 4 | 5 |
| 13. I arrange events others enjoy. | 1 | 2 | 3 | 4 | 5 |
| 14. I seek out activities that make me happy. | 1 | 2 | 3 | 4 | 5 |
| 15. I am aware of the non-verbal messages I send to others. | 1 | 2 | 3 | 4 | 5 |
| 16. I present myself in a way that makes a good impression on others. | 1 | 2 | 3 | 4 | 5 |
| 17. When I am in a positive mood, solving problems is easy for me. | 1 | 2 | 3 | 4 | 5 |
| 18. By looking at their facial expressions, I recognize the emotions people are experiencing. | 1 | 2 | 3 | 4 | 5 |
| 19. I know why my emotions change. | 1 | 2 | 3 | 4 | 5 |
| 20. When I am in a positive mood, I am able to come up with new ideas. | 1 | 2 | 3 | 4 | 5 |
| 21. I have control over my emotions. | 1 | 2 | 3 | 4 | 5 |
| 22. I easily recognize my emotions as I experience them. | 1 | 2 | 3 | 4 | 5 |

- | | |
|--|-----------|
| 23. I motivate myself by imagining a good outcome to tasks I take on. | 1 2 3 4 5 |
| 24. I compliment others when they have done something well. | 1 2 3 4 5 |
| 25. I am aware of the non-verbal messages other people send. | 1 2 3 4 5 |
| 26. When another person tells me about an important event in his or her life, I almost feel as though I experienced this event myself. | 1 2 3 4 5 |
| 27. When I feel a change in emotions, I tend to come up with new ideas. | 1 2 3 4 5 |
| 28. When I am faced with a challenge, I give up because I believe I will fail. | 1 2 3 4 5 |
| 29. I know what other people are feeling just by looking at them. | 1 2 3 4 5 |
| 30. I help other people feel better when they are down. | 1 2 3 4 5 |
| 31. I use good moods to help myself keep trying in the face of obstacles. | 1 2 3 4 5 |
| 32. I can tell how people are feeling by listening to the tone of their voice. | 1 2 3 4 5 |
| 33. It is difficult for me to understand why people feel the way they do. | 1 2 3 4 5 |

APPENDIX F

[Footnote]

Notes

1. The authors wish to thank Wayne Hoy for his assistance in making this adaptation.
2. The instrument is copyrighted by the authors, however, there are no copyright restrictions on the instrument for use in scholarly research and for non-profit educational purposes.

APPENDIX G

Principal Questionnaire

This questionnaire is designed to help us gain a better understanding of the kinds of things that create challenges for principals in their school activities.

Directions: Please indicate your opinion about each of the questions below by marking one of the nine responses in the columns on the right side. The scale of responses ranges from "None at all" (1) to "A Great Deal" (9), with "Some Degree" (5) representing the mid-point between these low and high extremes. You may choose any of the nine possible responses, since each represents a degree on the continuum. Your answers are confidential.

Please respond to each of the questions by considering the combination of your *current* ability, resources, and opportunity to do each of the following in your present position.

"In your current role as principal, to what extent can you..."	None at All	1	2	3	4	5	6	7	8	9	A Great Deal
1. facilitate student learning in your school?	1	2	3	4	5	6	7	8	9		
2. generate enthusiasm for a shared vision for the school?	1	2	3	4	5	6	7	8	9		
3. handle the time demands of the job?	1	2	3	4	5	6	7	8	9		
4. manage change in your school?	1	2	3	4	5	6	7	8	9		
5. promote school spirit among a large majority of the student population?	1	2	3	4	5	6	7	8	9		
6. create a positive learning environment in your school?	1	2	3	4	5	6	7	8	9		
7. raise student achievement on standardized tests?	1	2	3	4	5	6	7	8	9		
8. promote a positive image of your school with the media?	1	2	3	4	5	6	7	8	9		
9. motivate teachers?	1	2	3	4	5	6	7	8	9		
10. promote the prevailing values of the community in your school?	1	2	3	4	5	6	7	8	9		
11. maintain control of your own daily schedule?	1	2	3	4	5	6	7	8	9		
12. shape the operational policies and procedures that are necessary to manage your school?	1	2	3	4	5	6	7	8	9		
13. handle effectively the discipline of students in your school?	1	2	3	4	5	6	7	8	9		
14. promote acceptable behavior among students?	1	2	3	4	5	6	7	8	9		
15. handle the paperwork required of the job?	1	2	3	4	5	6	7	8	9		
16. promote ethical behavior among school personnel?	1	2	3	4	5	6	7	8	9		
17. cope with the stress of the job?	1	2	3	4	5	6	7	8	9		
18. prioritize among competing demands of the job?	1	2	3	4	5	6	7	8	9		

Principal sense of efficacy scale (PSES).

Tschannen-Moran, M & Gareis, C. R. (2004). Principals' sense of efficacy: Assessing a promising construct. *Journal of Educational Administration*, 42(5), 573-585.

VITA

Kurt Spencer Ream was born in Kansas City, Missouri and was raised in the State of Kansas. After high school at Shawnee Mission South, he attended Emporia State University in Emporia, Kansas where he played three years of football and was a member of the Kappa Sigma fraternity. He graduated with a Bachelors Degree in Earth Science. After graduating, he had several different jobs but not in his field of earth science. He returned to the classroom and received his teaching certificate. His first teaching job was at Warrensburg Middle School. He taught earth science, life science and math. This path quickly led him to the assistant principal job and eventually to an elementary principal position which he held for five years. At the time of this writing he is teaching chemistry, physical science, and earth science at Odessa High School, Odessa, MO.

Dr. Ream has a Master's degree in Education Administration and a Specialist degree for Superintendent from the University of Central Missouri, and has his Ed. D. in Education Leadership from the University of Missouri, Columbia.

In addition to these accomplishments, he has written and illustrated children's books, most notably *Dust Bunnies* and *The Mystery of the Disappearing Dust Bunnies*. He enjoys painting, building plastic models, deer hunting, and spending time with his wife.

