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An Examination of Personal Beliefs and Values in Selected Elementary School Principals

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Loyola University Chicago

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AN EXAMINATION OF PERSONAL BELIEFS AND VALUES
IN SELECTED ELEMENTARY SCHOOL PRINCIPALS

by

Jeanne Koshaba Sokolec

A Dissertation Submitted to the Faculty of the
Graduate School of Education of Loyola University of Chicago
in Partial Fulfillment of the Requirements for the Degree of
Doctor of Education

May

1990

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Loyola University of Chicago

AN EXAMINATION OF PERSONAL BELIEFS AND VALUES
IN SELECTED ELEMENTARY SCHOOL PRINCIPALS

Ten elementary school principals were interviewed regarding their beliefs and values in the areas of vision, value conflicts, cognitive style, role, and philosophy of schooling. An underlying assumption of this study was that articulated beliefs and values by members of an occupational group are necessary for the professionalization of that group. The results of the study have implications for the administrative curriculum since professions educate new members into the ethos of that profession.

Since this was an exploratory study, no a priori assumptions were made regarding what beliefs and values would be or should have been found. The interviews used a semi-structured questionnaire and the data were derived from verbatim transcripts of the interviews. A constant comparative method was used to analyze the data and data were also subject to triangulation strategies. In addition, five of the interviewed principals were "shadowed" in their schools on a regular school day.

Similar themes were expressed by the ten principals in each of the areas queried: (1) Each principal expressed a vision for their school which was fulfilled through various programs. Both administration and staff were believed to be

essential components to successful fulfillment. (2) The principals interviewed did not express value conflicts that created untenable positions for them. (3) A particular style did not emerge. However, each principal expressed their style as being supportive of staff. Authority, when used, was a means not an end. A professional stance was felt to be important. (4) The principals by description and action carried out a number of roles that were necessary for the smooth running of the school. (5) Desired outcomes of schooling suggested a "whole child" perspective.

The principals in their responses as a group supported the existence of a framework in which they operated and the existence of a core set of values for themselves, students and staff which enhanced the notion of the principalship as a profession.

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Special gratitude must also go to the author's colleagues and friends at The Day School who have through the years have provided encouragement and have shared in her educational accomplishments. And finally, heartfelt appreciation is given to the principals, who must remain anonymous, for their warm and honest participation without which this dissertation could not have been written.

VITA

The author, Jeanne Koshaba Sokolec, is the daughter of Robert and Mary Avis Koshaba. She was born on August 8, 1946 in Chicago, Illinois.

Her elementary and secondary education was obtained in the Chicago Public Schools. Mrs. Sokolec received a Bachelor of Arts degree from the University of Missouri in 1967. In September 1967 she enrolled in the Institute for the Study of Exceptional Children and Adults at DePaul University, receiving a Master of Arts degree in the Education of the Mentally Retarded. Mrs. Sokolec also holds a Master of Social Work degree which she received from Loyola University in 1981. While a student in the School of Social Work, she was elected to Alpha Sigma Nu.

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CHAPTER I

INTRODUCTION

Statement of the Problem

Studies of the principalship have moved through several stages during the last two decades with their aim being to establish its professional base. An initial stage can be defined by its concern with leadership functions and clinical supervision. The second era was hallmarked by its attempt to distinguish between effective and ineffective leaders and the relationship between effectiveness and organizational climate. A third stage emerged which placed importance on who leaders were as people, what they believed and how what they believed and valued affected and was affected by their positions as principals.

Regarding the professionalization of the occupation, Shields stated that:

while there have been differences in the past as to what constituted professionalism, differences colored by historical contexts, contemporary educational administrators agree that the professional administrator is one who is capable of bridging the gap between a validated theoretical base and on-the-job performance....the professional is one who applies a body of knowledge.¹

1. John Michael Shields, "An Analysis of Selected Aspects of Leadership Skills Among Selected Principals of Catholic Secondary Schools in the Archdiocese of Chicago" (Ph.D. dissertation, Loyola University of Chicago, 1987), 1.

Greenwood listed five elements of a profession: (1) systematic theory, (2) authority, (3) community sanction, (4) ethical codes, (5) culture.² Culture consisted of its values, norms and symbols. Greenwood defined the social values of a professional group "as its basic and fundamental beliefs, the unquestioned premises upon which its very existence rests."³

The field of social work provides a theoretical model for conceptualizing the professionalization of the principalship. Social work sees itself as a profession versus an occupation and professes a professional model of practice with the essential components being values, knowledge and intervention techniques.⁴ In the area of the principalship, it can be argued that a knowledge base exists and that intervention techniques or methods also are in force. However, the value base or what is regarded as "good and desirable"⁵ has not yet been defined other than at a rudimentary level of various writers submitting frameworks for thought. One consequence of the non-existence of some

2. Ernest Greenwood, "Attributes of a Profession," Social Work (July 1957): 45-55.

3. Ibid., 52.

4. Harriet M. Bartlett, The Common Base of Social Work Practice (Washington, D.C.: National Association of Social Workers. 1970).

5. Ibid., 211.

definition of what is considered "good and desirable" is that there is no driving force behind the purpose of the principalship or methods that are used. And while it can be argued that individual values will vary and there is no need for a common value base, the counter-argument is that if individual values are relied upon, the focus remains on an individual in a particular setting rather than creating a professional focus. It was a premise of this study that while there will always be impinging outside variables, those in principalship positions need to articulate a common purpose which is driven by common values and knowledge. Freedom to relate to the needs of a specific location or population comes with the intervention repertoire.

Purpose of the Study

The purpose of the study has been to explore the range of personal beliefs and values in five conceptual areas in a selected group of elementary school principals. An underlying assumption of this study was that articulated beliefs and values by members of an occupational group are necessary for the professionalization of that group. The study went beyond sanctioning the importance of knowing leaders in terms of what they believe and value to articulation of beliefs and values by persons in the position. The research focused on the areas of vision,

value conflicts, cognitive style, role of the principal, and philosophy of schooling. These areas were chosen because they represented the areas highlighted when discussing the principalship. While each of these is often discussed alone, they also relate to each other. However, for purposes of this study, the nature of the relationship between these areas was not the focus except as themes emerged from the data. Rather, the focus was on whether there was a consensus among the principals in each of the areas investigated. Since this was an exploratory study, no a priori assumptions were made regarding what beliefs and values would be or should have been found. Allowing themes to emerge rather than using a proven research base has established its place in a new area of inquiry.

The results of this study have implications for the administrative curriculum since professions educate new members into the ethos of that profession. If consensus is found in the areas studied, a beginning step has been achieved in terms of a value base.

Procedure

The subjects for this study were ten elementary level principals employed in public school districts in communities north and south of the city of Chicago. Principals employed by the Chicago Board of Education were specifically omitted due to the present major reform reorganization within the city schools. It was felt that the present climate in city schools might negatively contribute to the responses of the subjects. Elementary principals were chosen because they generally have total administrative and supervisory control over their buildings in contrast to the role of high school principals whose supervisory functions are more distant.

This was a convenience sample in that there was no attempt to have a representation of sex, age, ethnic group, socioeconomic level variables of the schools or individuals interviewed within the sample. The limitations of a convenience sample include an inability to generalize findings beyond the sample because non-participants may hold a fund of data, that if obtained, would add to the study or significantly change the results. Two parameters were set: (1) all the principals had to hold a Type 75 Administrative Certificate and (2) they had to have completed more than one year in the principalship.

The principals were initially contacted through an introductory letter explaining the study and requesting their participation. A telephone call followed the letter in order to answer any questions, discuss their decision and if they agreed to participate, to arrange a meeting time. It should be noted that ten names were submitted as possible contacts and all ten agreed to participate.

Two phases were involved in the study: the first was an in-depth interview involving all ten principals. The second phase, which involved only five principals was a visit to the school while school was in session to "shadow"⁶ the principal. The schools that were chosen for the visit did not necessarily represent a sample of different situations. Although when first contacted, principals had to agree to participate in the interview and visit if selected, two principals left their positions after the interview and before school started in the fall. However, one these schools would not have been chosen for a visit due to the extremely small number of classrooms it had. Of the remaining eight possible visit sites, two were eliminated because of the small size of the student body. Given the convenient nature of the visit sample, the data

6. David C. Dwyer, "Understanding the Principal's Contribution to Instruction," Peabody Journal of Education 63 (Spring 1986): 17-30, p. 18.

reflects only those particular schools, rather than being generalizable to a larger sample. However, the visits did provide on-site information about the five specific principals which could be viewed in the context of their individual interviews.

As is common in suburban communities, in contrast to city schools, only one of these elementary schools was a K-8 building. The others were K-2, K-5, 6-7-8 buildings. None of them were special education centers although they each had some special education programming within them.

Data were collected through in-depth interviews using a semi-structured questionnaire which was provided to the principals prior to the interviews. The purpose of using such an instrument was that a semi-structured questionnaire sets the parameters of the study but allows the interviewer the leeway of probing in-depth and/or other directions depending on the respondent and responses that emerge. All the interviews were held during the summer when the principals had to work but when there were no children or teachers in the building. This was done both to insure better privacy of comments and to create a more relaxed atmosphere without the pressures of daily school routine. The interviews were tape recorded. Prior to the actual interviews, the questions were piloted with two administrators who were not participants in the study.

Although they were invited to make comments on the clarity and ease of responses to the questions, their responses did not warrant making changes in the procedure. The specific research questions were:

1. Is there a consensus among a group of selected principals interviewed regarding their visions?
2. Is there a consensus among a group of selected principals interviewed regarding value conflicts they have experienced and how they have dealt with the conflicts?
3. Is there a consensus among a group of selected principals interviewed regarding an ideal cognitive style for the principalship?
4. Is there a consensus among a group of selected principals interviewed regarding the role of the principal?
5. Is there a consensus among a group of selected principals interviewed regarding a philosophy of schooling?

The questionnaire's first section involved personal information about the interviewee such as age, number of years in position, credentials, etc. The second section involved open-ended questions about the respondents' visions, value conflicts, beliefs about style, beliefs about role and philosophy. In each case an opening question was asked of the respondent. Then, depending on the direction the respondent went, additional questions were asked to clarify, to pursue thoughts for more breadth and depth and/or to refocus the respondent. For example, in the area of ideal cognitive style, the initial question was "Do you

believe there is an ideal cognitive style for the principalship?" As the principal responded, a follow-up question often was, "If I were to meet one of your teachers, how would they describe you?"

In contrast to the interviews, the visits took place early during the fall semester on a regular school day. The principals were asked to carry on their normal routines with the researcher "shadowing" them. During the visit the activities in which the principals engaged were recorded as they occurred without interpretation.

The tape recordings of the interviews were transcribed verbatim. They were then analyzed and categorized by a constant comparative method⁷. Each idea expressed in a response was compared to the other responses to the same question. Similar responses were placed in the same category and different responses formed other categories. Until the last response was coded, the content of the categories changed and new categories were created. The initial coding strategy was not content specific but identified more general categories into which the more specific responses fell as data were being analyzed. While the data were being coded, ideas that emerged became the themes of the analysis.

7. Barney G. Glaser, "The Constant Comparative Method of Qualitative Analysis," Social Problems 12 (1965): 436-445.

Data were also subject to triangulation strategies. Exploration in the literature for pre-existing theoretical frameworks was a continuous process and those frameworks that were found were used to support the findings. In addition, the site visits allowed the principals to be seen in action. Actions that matched or represented verbal descriptions by the principals were additional confirmation of the data. Initially, activities observed at the sites were grouped by overt description of the activity's function. A secondary analysis attempted to recode the observed activities using the coding strategy of vision, value conflict, cognitive style, role, and philosophy.

Definition of Terms

Vision: "...the development, transmission and implementation of a desirable future."⁸

Values: "what is considered as good and desirable."⁹

Value statements: statements of preference, not fact. Specific behaviors and action can be driven by a particular value base or as Blumberg and Greenfield stated: "...values - the moral component of action and decision."¹⁰

Value conflicts: those situations in which there are competing courses of action either from external forces or from internal "competing forces of goodness."¹¹

8. A. Lorri Manasse, "Vision and Leadership: Paying Attention to Inattention," Peabody Journal of Education, 63 (Spring 1986): 150-173, p. 150.

9. Bartlett, 63.

10. Arthur Blumberg and William Greenfield, The Effective Principal, 2nd ed., (Boston: Allyn and Bacon, Inc., 1986), 225.

11. Ibid., 226.

Style: "...a particular behavior emphasized by the leader to motivate his or her group to accomplish some end."¹²

Role: "Role is a pattern of behavior associated with a distinctive social position...."¹³ Roles generally have an a priori specification of duties, allegiances and rights. The specifics of role functioning are learned via formal and informal channels.

Philosophy of Schooling: for purposes of this inquiry, philosophy of schooling was defined as desired outcomes for students. Educational institutions generally refer to these outcomes as goals or the mission of the school. These goals are driven by philosophical beliefs, needs and in today's context, social and political forces.

12. E. Mark Hanson, Educational Administration and Organizational Behavior (Boston: Allyn and Bacon, Inc., 1979), 239.

13. Leonard Broom and Philip Selznick, Sociology (Evanston, Ill.: Row, Peterson and Company, 1958), 12.

Semi-structured Questionnaire: a questionnaire which utilizes open-ended questions which "supply a frame of reference for respondents' answers, but put a minimum of restraint on the answers and their expression."¹⁴ A particular type of open-end question was used - a funnel - which begins with a broad based question and then narrows the following questions in order to probe for specific details. The advantages of this type of question are: (1) questions are more flexible; (2) probing allows for clarification and depth; (3) the interviewer can more easily engage the interviewee and establish rapport; and (5) unexpected answers may lead the interviewer in a direction not anticipated.¹⁵

Triangulation Strategies: "...a cluster of strategies that when applied to qualitative findings can increase their reliability and generality."¹⁶ In this study triangulation strategies included on-site visits and the use of other data

14. Fred E. Kerlinger, Foundations of Behavioral Research, 2nd ed., (New York: Holt, Rinehart and Winston, Inc. 1973), 483.

15. Ibid., 484.

16. Steven I. Miller and Marcel Fredericks, "The Confirmation of Hypotheses in Qualitative Research," [unpublished paper], 20.

and frames of reference. Miles and Huberman have stated:

Triangulation is a state of mind. If you *self-consciously* set out to collect and double check findings, using multiple sources and modes of evidence, the verification process will largely be built into the data gathering process, and little more needs to be done than to report on one's procedures.¹⁷

17. Mathew B. Miles and A. Michael Huberman, Qualitative Data Analysis, (Beverly Hills: Sage Publications, 1984), 235.

CHAPTER II

REVIEW OF RELATED LITERATURE

The literature reviewed for this study is divided into four sections: (1) general literature on leadership; (2) literature in specific areas: vision, value conflicts, cognitive style, role, philosophy of schooling; (3) literature on values in other disciplines; and (4) literature on value bases of educational leaders. The purpose of the literature section is to provide a basis for the study that follows and to serve as substantiation of findings.

General Literature on Leadership

When discussing leadership, it is helpful to think about the people who occupy leadership positions in schools rather than looking at the concept in the abstract. Wolcott's ethnography The Man in the Principal's Office¹ in great detail described the work of Ed Bell, principal of Taft School. Wolcott compared Ed Bell to the principals surveyed by the Department of Elementary School Principals

1. Harry F. Wolcott, The Man in the Principal's Office (New York: Holt, Rinehart and Winston, Inc., 1983).

of the NEA in 1967. Wolcott found that Ed Bell was within the modal or next category of these principals. Some of areas of agreement were:

- Ed Bell was a male principal between the ages of 35-49 years old, married with a Master's degree.
- Ed Bell's experience as a principal was in the modal group of 10-19 years.
- The principalship was Ed Bell's final occupational goal.
- Like the principals surveyed, Ed Bell would become a principal again had he to do it over.

In 1978 the National Association of Elementary School Principals conducted their fifth survey of the elementary school principal. It was felt that the five studies - 1928, 1948, 1958, 1968, 1978 - represented the changes that had occurred in the elementary principalship. Based on their survey, some of the characteristics they discovered were that the typical principal was:

- a white male
- 46 years old
- married
- held a Master's degree
- had high professional morale
- felt secure in his job
- principalship was his final occupational goal
- would become a principal again
- was a registered democrat but was conservative politically
- had been a principal for 10 years, 5 in his present position
- all his experience had been in his present district
- belonged to principals' associations
- administered one school
- believed he had good relationships with teachers, the superintendent and the school board.²

Vittengl examined the "ethos" of the Iowa elementary school principal. His major findings were:

- Principals were 46 year old males, married, with Master's degrees, and had been principals for 14 14 years.
- Increased challenges and responsibility were motivating forces to become principal.
- The greatest source of their satisfaction came from helping students through difficulties and seeing their staffs band together to solve difficult problems.
- Supervision of instruction was seen as their most important job responsibility. If they had more time, they would become more involved in curriculum matters.³

Saracen believed that people became principals due to three reasons: (1) the classroom had lost its novelty; (2) increase in salary; (3) more influence, power and prestige.⁴

Rossi in 1985 surveyed principals in Illinois. Some of his findings were:

- Principals were typically white, married, middle age males.
- They had spent 10-20 years as principals.

 2. William L. Pharis and Sally Banks Zakariya, The Elementary School Principalship in 1978: A Research Study (Arlington, Va., National Association of Elementary School Principals, 1978).

3. Robert J. Vittengl, "The Iowa Elementary School Principal: A Sociological Perspective" (Ed.D. dissertation, Iowa State University 1984).

4. Seymour B. Saracen, The Culture of the School and the Problem of Change, 3rd ed., (Boston: Allyn and Bacon, Inc., 1982).

- Where the principalship was not the final goal, the superintendency was the future goal.
- The majority of their time was spent on organization and management in spite of feeling that improvement of instruction should be their priority.
- They had high morale and good relationships with teachers and superiors.
- Their job satisfaction was related to working conditions.⁵

Thus, both Vittengl and Rossi in two different states found similar personal characteristics to the 1978 NAESP study.

The concept of leadership is not a new one for education or other disciplines. Much of what education has said about the subject has been borrowed from the study of business organizations and reapplied. However, with the push for the professionalization of the field of educational leadership, there has also been movement for defining the concept of leadership as it applied to managing schools. Various adjectives have been added to the noun - effective leadership, ineffective leadership, quality leadership, visionary leadership - as attempts to clarify its meaning. Standardizing the definition so that a clear framework emerges does not seem to be close to accomplishment. Rather, models for leadership appear to "be in the eyes of

5. Harry P. Rossi, Jr., "The Role of and Functions of the Elementary School Principal in Illinois (Ed.D. dissertation, Loyola University of Chicago, 1985).

the beholder." Whether lack of a universal definition has a positive or negative valence has not yet been decided. Duke succinctly stated:

Conventional efforts to understand leadership have provided important contributions to an awareness of how leaders are selected, spend their time and impact events. In spite of these contributions, leadership remains an elusive phenomenon.⁶

Murphy, et al., presented a conceptual framework of leadership that viewed the concept as a complex variable. The variable was comprised of leadership functions, leadership activities and leadership processes.⁷ However, their discussion did not extend to looking for main effects or interactions of the sub-variables. On the other hand, this model is not incompatible with others described below. In another article, Murphy et al., stated that:

The concept of leadership even when defined in terms of specific functions and behaviors, is a surface variable. That is, examination of the concept does not lead to an understanding of how educational leaders accumulate and use influence to put these functions and behaviors into use. Without this knowledge, efforts to understand leadership and train leaders will never be as successful as they could be.⁸

6. Daniel L. Duke, "The Aesthetics of Leadership," Educational Administration Quarterly 22 (Winter 1986): 7-27, p. 9.

7. Joseph Murphy, Philip Hallinger, Marsha Weil, and Alexis Mitman, "Instructional Leadership: A Conceptual Framework," Planning and Changing 14 (Fall 1983): 137-149.

8. Joseph Murphy, Philip Hallinger and Alexis Mitman, "Problems with Research on Educational Leadership: Issues to Be Addressed," Educational Evaluation and Policy Analysis 3 (1983): 297-305, p. 302.

Parkay's⁹ model of how effective leaders lead had as its components communication of purpose, promotion of professional inquiry into educational problems, managing with a situational style, modeling, and expecting quality performance. Parkay saw the environmental context of the school as impacting positively or negatively. The leader in this model brought with him or her a vision of effectiveness and an understanding of group dynamics. Parkay expanded from Murphy et al., but still did not attend to how leaders come to do what they do.

Duke proposed an aesthetic-based leadership model in which "the behavior of the leader does not constitute leadership until it is perceived so by an observer."¹⁰ Among the properties of leadership under this model were (1) direction: purposeful actions that are carried out in concert with others; (2) engagement: people are not just managed but rather their feelings, wishes and perceptions are taken into account; (3) fit: while there does not have to be similarity between the engaged groups, their wishes, feelings and perceptions should at least mesh; (4) originality: the ability of the leader to attract attention

 9. Forrest W. Parkay, "A Conceptual Model for Quality Oriented Educational Leadership," Planning and Changing 15 (Spring 1984): 3-9.

10. Duke, 14.

through his or her ideas and actions. A prerequisite for these properties to be utilized is that the leader brings others into awareness by translating his or her vision(s) into reality through reaching out to others and communicating his or her goals.

Eagleton and Cogdell used the Humanistic Leadership Model to study the leadership behaviors of the chief school officer. This model viewed humanistic leadership as "the administration of organizational purposes which maximizes human potential."¹¹ For purposes of this discussion, the premises and practices were important:

1. Any decision making pattern which intertwines with the charge, function, and objective of the organization is fulfilling the overall goals of the organization.
2. Any policy or administrative edict which is applied equitably to both line and staff will result in fulfilling the goals of the organization through transforming such values as trust, credulousness, confidence, and respect into productivity.
3. Any decision-making pattern which decentralizes authority and responsibility to the level of primary function leads towards fulfillment of the goals of the organization.
4. Any pattern of behavior propelling the purposes of the organization which is rewarded will lead toward fulfillment of the organization's goals.
5. Any pattern of behavior hindering the purposes of the organization when redirected will lead towards fulfillment of the organization's goals.

 11. Cliff Eagleton and Roy Cogdell, "The Humanistic Leadership Model: A Pilot Investigation," Educational Research Quarterly 5 (Winter 1980-81): 51-70, p. 54.

6. Any policy or procedure whose development is influenced by those persons it will impact will be a more beneficial policy.

7. Any organizational pattern which requires decision making at each administrative level will lead toward fulfillment of the organization's goals by developing human potential.

8. Any decision-making pattern which encourages the participation and promotion of line and staff without favoritism or discrimination will lead toward fulfillment of the organization's goals.

9. Any leadership pattern which continually clarifies goals and which requires adherence to the decision making structure by both subordinates and superiors will lead towards fulfillment of the organizational goals through more cooperative, confident and secure line and staff.¹²

Dubin asked the question whether leadership skills are innate or are developed through training.¹³ He cited Merton's definition of socialization which defined the concept as:

...the role development or status position training which designates the specific behaviors, abilities, beliefs, values, emotional dispositions, and norms that are appropriate in a particular social setting and structure.¹⁴

12. Ibid., 54-55.

13. A.E. Dubin, "Administrative Training: Socializing Our School Leaders," Planning and Changing 18 (Spring 1987): 33-37.

14. Robert K. Merton, Social Theory and Social Structure, (Glencoe: The Free Press, 1957), 368.

While Dubin did not offer solutions, he raised questions and drew our attention to the conscious intent to socialize for leadership especially given the demographic changes in the leadership population and the changing needs of students.

Greenfield posited a similar thesis when he stated that:

...completing formal preparation and certification requirements are necessary but not sufficient for appointment to an administrative position; one must also demonstrate adequate moral socialization to the values, attitudes, and beliefs central to the members of the administrative group.¹⁵

He went a step further than Dubin in that he looked at the conditions under which moral socialization took place. While much of it occurs through informal processes, he proposed that school districts can have a direct influence by (1) articulation of values, attitudes and beliefs; (2) encouragement of administrators to participate in activities designed to foster the desired values, attitudes and beliefs; (3) recognition of administrators who are ideal role models; (4) provision of support to retrain administrators to relearn the administrative role.¹⁶

 15. William D. Greenfield, Jr., "The Moral Socialization of School Administrators: Informal Role Learning Outcomes," Educational Administration Quarterly 21 (Spring 1985): 99-119, p. 100.

16. Ibid., 112.

In summary, the concept of leadership is viewed as a multidimensional one that is affected by larger variables and also affects those it comes in contact with. There is also the notion that the beliefs, skills and activities that encompass leadership are not necessarily givens in a particular individual but rather are components which are learned and should be taught. One foreseen difficulty in teaching the components of leadership is whether those in academic positions would agree on what was to be included.

As stated earlier, the concept of leadership, especially in other disciplines, is not a new one. In education, the concept of leadership has moved through several distinct periods in the last one hundred and twenty years. Thus the examination of the personal beliefs and values of those in educational leadership positions, i.e., the principals in this case, needs to be considered as an evolutionary step in the professionalization of that role.

The early history of the development of public schools and the personnel who managed them is well documented. As these schools grew, the need for managing them arose and so teachers became the managers. From the earliest beginnings of public schools continuing until today, society has dictated and greatly influenced the purposes of schools, what they would teach, what the teachers would believe, how the teachers would behave both in school and in their

private lives. A greater burden, during at least the last two decades has been that public schools have been given the responsibility of dealing with societal problems by default. Through all of this, the role of the principal has been expanded without necessarily a conscious consideration of skills, needs, goals, etc., Instead, what seemed to emerge was criticism of the performance of schools, and therefore their leaders - principals - which led to distinguishing effective and ineffective schools.

Goldhammer cited four developmental states in school administration up to 1950 that had been identified by other authors:

1. 1865-1900: Administrators were seen as "philosopher-educators" whose goals were to establish a public school system.
2. 1900-1913: The general industrial revolution in society brought on concerns of having an educational system that was universally adaptable.
3. 1913-1930: "Administrator as manager" became the hallmark.
4. 1930-50: Greater professionalism of the profession became called for. The events of the last period were widely divergent. Societal conditions after World War II brought on vastly different attitudes and requirements of schools. ¹⁷

 17. Keith Goldhammer, "Evolution in the Profession," Educational Administration Quarterly 19 (Summer 1983): 249-272.

Fogarty succinctly stated about the fifties:

...there was widespread optimism in both the universities and the field that educational administration was on the threshold of a new era which maturity as a profession would finally be realized.¹⁸

Button supported this view when he stated:

If the status of administration was to be improved, it was necessary to improve the preparation of those entering the field and to incorporate 'basic' knowledge; knowledge of the behavioral sciences was the best choice.¹⁹

The 1960s ushered in "The Great Society" with its concern for the underclasses and large federal involvement in funding programs in schools and training school personnel. The late sixties and seventies hallmarked by societal unrest with the Viet Nam War saw the fall of "The Great Society" and resulted in an era of criticism of all governmental structures, including schools. Demands for effectiveness and measurable products were heightened. Schools were easy targets as reports of unemployable graduates, gangs, drop-outs, and drugs became nightly public information. Those in school leadership positions became the targets of the critics. The call for better training of administrators, competency exams and community involvement

18. Bryce M. Fogarty, "Educational Administration 1959-1981: A Profession in Evolution," Educational Administration Quarterly 19 (Summer 1983): 141-152, p. 14.

19. H. Warren Button, "Doctrines of Administration: A Brief History," Educational Administration Quarterly 2 (Fall 1962): 216-224, p. 222.

became public. The role of the principal as an instructional leader was defined, how principals should work with teachers was delineated and what conditions would lead to effectiveness were outlined.

In the mid-eighties however, a new period seemed to emerge, at least within the profession, as it struggled to answer its critics and reassert its role. This period has been characterized by placing importance on who leaders were as people and what they believed. Equally important has been the concept that their beliefs and values affect and are affected by their positions as principals. Sergiovanni has stated:

The old view of leadership, which emphasized style and behavior and the development of highly structured management systems, remains important. But now what leaders stand for and believe in, and their ability to communicate their values to others, is more important than how they behave."²⁰ Vittengl echoed similar thoughts when he stated "that while countless researchers have investigated what principals do and how they do it, few of the recent inquiries have been devoted to the individual who occupies the position."²¹

Campbell²² in a twenty-five year perspective on

20. Thomas J. Sergiovanni, "The Theoretical Basis for Cultural Leadership," in Leadership: Examining the Elusive, eds. Linda T. Sheive and Marian B. Schoenheit (1987 Yearbook of ASCD: 116-129, p. 117.

21. Vittengl, 1.

22. Roald F. Campbell, "Educational Administration - A Twenty-Five Year Perspective," Educational Administration Quarterly 8, (1972): 1-15.

educational administration spoke of some of the contrasts between 1941 and 1971 in that area. The first contrast was the social setting. As he stated, the optimism following the end of World War II gave way to societal unrest with schools being held responsible for solving all the ills of society. Secondly, the belief in the effectiveness of the public school gave way to seeking alternatives to deal with the failures of the public system. Campbell quoted from Silberman's Crisis in the Classroom:

Most of all, however, I am indignant at the failures of the public schools themselves. "The most deadly of all possible sins, " Erik Erikson suggests, "is the mutilation of the child's spirit." It is not possible to spend any prolonged period visiting public school classrooms without being appalled by the mutilation visible everywhere - mutilation of spontaneity, of joy in learning, of pleasure in creating, in sense of self. The public schools - those "killers of the dream," to appropriate a phrase of Lillian Smith's - are the kind of institution one cannot really dislike until one gets to know them well. Because adults take so much for granted, they fail to appreciate what grim, joyless places most American schools are, how oppressive and petty are the rules by which they are governed, how intellectually sterile and aesthetically barren the atmosphere, what an appalling lack of civility obtains on the part of teachers and principals, what contempt they consciously display for children as children.²³

Whether one agrees with Silberman or not, his words are poignant ones and reflect much of the thinking of that era.

23. Charles E. Silberman, Crisis in the Classroom (New York: Random House, 1970) 10.

The third contrast has been a shift of thinking from a local school perspective to broadening administrative concepts to deal with diverse populations and diverse settings. Moving from a "school administrator" perspective to an "educational administrator" perspective has broadened the field's ability to look at administration in other areas thus increasing the conceptual base. The fourth contrast shifted the operating frame of reference from "democratic prescription" to more analytical thinking which could lead to development of a theoretical framework. Campbell was careful to say that values continue to play an important role in decision making and while analysis can provide a multitude of information and suggest outcomes of various strategies, a value base is needed to decide which strategy will be used given several appropriate choices.

The fifth shift has been in research which has moved from field observation to the examination of relationships in the field. In addition, the work in other disciplines is being assessed more realistically for its applicability. Finally, Campbell saw a shift in training from a strictly cognitive orientation to concern for and inclusion of affective components.

Goldhammer²⁴ included other forces that have affected

24. Goldhammer, 249-272.

shifts in thinking about educational leadership. One variable has been the growth in numbers attending school, thus increasing the complexity of tangible and intangible factors to be dealt with. In the early days of the public schools, managers were teachers. And while the majority of educational administrators have been teachers, it has been felt that as they move farther away from the classroom, that they have shifted their values and interests. Collective bargaining has furthered the split between teachers and administrators and administrators have often been ill-prepared for the bargaining role. Contract restrictions have defined teacher and administrator roles and boundaries over which neither could step.

The plethora of legal cases has further defined what administrators could and could not do. Civil rights, student rights and teacher rights have become the law of the school rather than the principal's law being the norm. In addition to the restrictions placed by law, special interest groups have increased their advocacy role and have broadened their memberships. Any educational administrator, and especially the principal at the local school level who wishes to survive, has to understand the power of these groups while balancing the needs and interests of the school. As the federal role in education has increased

through legislation and funding of special programs, administrators have been further thwarted by regulations and procedural requirements.

Campbell contrasted the field of educational administration with other fields whose members have helped shape their profession. He felt that administration has been shaped by outside forces rather than by administrators themselves:

The profession has not emerged as it gave promise of doing thirty years ago. It has not become more solidly grounded in a knowledge base which provided standards and criteria for effective performance. It has not produced the type of symbiotic and adaptive relationship between the field and the preparatory and research programs that enables each to feed off the others in a combined effort to adapt, flourish and build upon their commonality of interests. It has remained an adaptive profession, unable to determine its own destiny or to shape schools on the basis of its knowledge and experience. Its power remains fragmented, and the ability to control its own destiny is still underdeveloped.²⁵

Hess²⁶ supported the shifts seen by Goldhammer and Campbell. He added that as we moved into the eighties, the growth spurt had stopped and administrators were faced with declining enrollments and reallocation of personnel and buildings. On a more positive note than Campbell, Hess applauded the manner in which educational leaders, albeit

25. Ibid., 269.

26. Fritz Hess, "Evolution in Practice," Educational Administration Quarterly 19 (Summer 1983): 223-248.

with sometimes great stress, have adjusted to changes in role expectations often with new strategies coming from the group itself.

Culbertson²⁷ in 1983 looked to leadership challenges as society moved from an industrial one to an information society. Given the future shift, quality education has to be measured not only in the attainment of specific outcomes but also in whether the outcomes are related to the shifts in the nature of society. In order for school outcomes to support societal needs, the purposes of schools have to be reviewed, and once this is done, program strategies to meet these needs have to be designed. He also felt it will be the role of the educational leadership to identify the changing needs and plan strategies for their accomplishment.

27. Jack A. Culbertson, "Leadership Horizons in Education," Educational Administration Quarterly 19 (Summer 1983): 273-296.

Literature In Specific Areas

Vision

The word vision has come to be synonymous with "effective leader." Titles such as "Create a Vision, Build a Consensus, Be an Effective Leader"²⁸ appear in the literature. Parks identified two kinds of vision: (1) product vision and (2) process vision. Sashkin spoke of vision as a "cultural ideal [which] defines the shared values that support certain critical functions of the school organization, functions that must be carried out effectively in any organization if that organization is to survive."²⁹

Sheive and Schoenheit defined vision as "a blueprint of a desired state. It is an image of a preferred condition that we work to achieve in the future."³⁰ They interviewed twelve New York state administrators from over 200 nominations. Half of those interviewed had visions that fell into a category labeled "organizational excellence." The second group had organizational visions and also had visions that could be considered more universal in nature.

28. David J. Parks, "Create a Vision, Build a Consensus, Be an Effective Leader," Clearing House 60 (1986): 88-90.

29. Marshall Sashkin, "The Visionary Principal," Education and Urban Society 20 (1988): 239-249, p. 241.

30. Linda T. Sheive and Marian B. Schoenheit, "Vision and the Work of Educational Leaders," in Leadership: Examining the Elusive, eds., Linda T. Sheive and Marian B. Schoenheit, (1987 Yearbook of ACSD): 93-104, p. 94.

Among this second group were those who had positions beyond principal. Another variable was that two-thirds of the organizational visions group did not hold doctorates. In the second group, two-thirds held doctorates while some of the others were in doctoral programs. The impact of having visions for them personally was to energize them in spite of the energy and risks involved in accomplishing their visions. Peters and Waterman repeatedly stressed that good companies were shaped by visions and values which were shared through the culture which was created and fostered by the leadership.³¹

Where does a vision come from and how is it actualized? Greenfield believed that the evolvment of a vision is guided by the:

...exercise of moral imagination...[which] involves observing the current state of affairs in a school and making a judgment about whether the current state is satisfactory. Implicit in the activity of making a judgment is the application of some standard of goodness.³²

Fradd, et al., proposed a "proactive model."³³ The model

31. Thomas J. Peters and Robert H. Waterman, Jr., In Search of Excellence, (New York: Harper and Row Publishers, Inc., 1982).

32. William D. Greenfield, "Moral Imagination, Interpersonal Competence, and the Work of School Administrators," in Leaders for America's Schools, eds. Daniel E. Griffiths, Robert T. Stout and Patrick B. Forsyth, (Berkeley: McCutchan Publishing Corporation, 1988), 207-232, 216.

33. Sandra H. Fradd, M. Jeanne Weismantel, and Jeffrey P. Branden, "Aiming for Student Success: A Model for Proactive

consisted of four phases: (1) collecting data, (2) hypothesizing needs, (3) developing interventions, and (4) evaluating outcomes. Sheive and Schoenheit found five steps in the actualization of vision:

1. Valuing: vision was connected to strong value bases.
2. Reflecting: deciding to own and do something about the areas of concern.
3. Articulating: assuming a position where the vision would be heard by others.
4. Planning: planning the accomplishment of the vision.
5. Action: using their competency in their positions, using people skills and using political savvy.³⁴

Sashkin saw three components to visionary leadership: (1) creating a cultural ideal, (2) implementing the vision organizationally and (3) implementing the vision through personal practices.³⁵ Parks believed that visions needed followers that through the actions of the leader come to understand and believe in the vision themselves. While building the consensus, the leader must not only feel strongly about his or her vision and communicate this, but also must be tolerant of the ideas of others and sensitive to their feelings and needs.

 School Organization," Planning and Changing 18 (Winter 1987): 239-245.

34. Sheive and Schoenheit.

35. Sashkin.

Even with the best intentions, planning and consensus implementation, failure of vision to materialize can occur. One of Peter's and Waterman's CEOs stated: "You need the ability to fail. You cannot innovate unless you are willing to accept mistakes."³⁶ Even with the potential of failure, the net result of having vision can still remain quite powerful:

When you have a true passion for excellence, and when you act on it, you will stand straighter. You will look people in the eye. You will see things happen. You will see heroes created, watch ideas unfold and take shape. You'll walk with a springier step. You'll have something to fight for, to care about, to share, scary as it is, with other people. There will be times when you swing from dedicated to obsessed. We don't pretend that it's easy. It takes real courage to step out and stake your claim. But we think the renewed sense of purpose, of making a difference, of recovered self-respect is well worth the price of admission.³⁷

In summary, the frequency with which the characteristic of vision is now used seems to imply instantaneous acceptance and implementation whenever the principal exercises certain behaviors and skills. However important vision may be, it is naive to not consider that there may be multiple opposing forces. Principals can be confronted by superiors and Boards of Education who may have their own agendas or advocate for the status quo. With the increased role of

36. Peters and Waterman, 223.

37. Tom Peters and Nancy Austin, A Passion for Excellence, (New York: Random House, 1985), 496.

community groups, threats to vision implementation can limit the principal's leadership role and even job security where community groups can "hire and fire" principals. Opposing forces can also be found within the school building itself. Teachers are often described as having their own priorities or being resistant to change.

Value Conflicts

Value conflicts for the administrator are a little researched area other than in generalities. In The Effective Principal Blumberg and Greenfield dealt with "Dilemmas About Values." They wanted to make the point that "any adequate understanding of the behavior of principals and the principalship cannot rest on an organization chart or a list of functions in a job description. Things go much deeper than that."³⁸ They interviewed 24 principals - 7 of whom they had interviewed previously. They found two categories of situations that cause value dilemmas for principals: (1) situations in which the principal is party to the conflict and (2) situations in which principals have to play a third party role. Of special concern is that given these situations occur in many different

38. Arthur Blumberg and William Greenfield, The Effective Principal, 2nd ed., (Boston: Allyn and Bacon, Inc. 1986), 213.

organizations, why do principals feel so acutely caught in a dilemma? It seems that principals are caught in the middle of advocating for children and supporting their staff, central office and the system.

Sergiovanni cited Stewart³⁹ who distinguished between demands and constraints which can inhibit a principal's performance. Demands are forced choices - "they cannot be avoided without putting one's job on the line."⁴⁰ Constraints generally limit what the principal can do. Both demands and constraints can be externally or internally based. Although he did not deal with the issue, Sergiovanni stated the importance of addressing these issues so that administrators can be better equipped to come face-to-face with them rather than be controlled by their effects.

In summary, there is a paucity of research in the area of value conflicts probably for a number of reasons. Most current literature in the area of leadership focuses on the positive or at least suggests that the leader can have direct influence in attaining effectiveness or quality. A more realistic stance is likely the assumption that there are going to be demands and constraints and the leader can

39. Rosemary Stewart, Choices for the Manager (Englewood Cliffs: Prentice Hall, 1982) cited in Thomas J. Sergiovanni, The Principalship - A Reflective Practice Perspective (Boston: Allyn and Bacon, Inc., 1987), 339.

40. Ibid., 339.

learn to be proactive in facing them rather than become disenchanted or unable to continue in that particular system.

Style of the Principalship

Hanson has defined style "as a particular behavior emphasized by the leader to motivate his or her group to accomplish some end."⁴¹ Style is not necessary synonymous with behavior - with a certain style, a variety of behaviors might be used.⁴² Traditional discussions of style have included Theory X versus Theory Y; situational leadership; concern for people v. concern for production; administrating versus facilitating. Key in these concepts were issues such as the relationship between the leader and the followers, the rigidity versus the flexibility of the leader and to what extent other variables influenced the style. In discussing leadership and student achievement with a professor or education, Brandt asked of being a "strong leader" was equated with having an "autocratic style." The professor's response was:

 41. E. Mark Hanson, Educational Administration and Organization Behavior (Boston: Allyn and Bacon, 1979): 239.

42. William L. Rutherford, "Styles and Behaviors of Elementary School Principals," Planning and Changing 17 (November 1984): 9-28.

Not at all. The leaders we're talking about know how to empower people and yell "Charge."...there's a team that works closely together...the [principal] is crucial to the process. The principal has to be the keeper of the dream and shepherd...the direction.⁴³

More contemporary thought discusses style with the assumption that the relationship between the leader and followers should be a positive one that exists to meet the demands and goals of the organization. Given that, styles are formulated in terms of maximizing the style to accomplish those ends.

At the beginning of their section on "Leadership" Peters and Austin quoted two sources which reflected the author's style:

The leader must have infectious optimism....The final test of a leader is the feeling you have when you leave his presence after a conference. Have you a feeling of uplift and confidence? (Field Marshall Bernard Montgomery)

Make it fun to work in your agency. When people aren't having any fun, they don't produce good advertising. Encourage exuberance. Get rid of sad dogs who spread doom. What kind of paragons are the men and women who run successful [advertising] agencies? My observation has been that they are enthusiasts. (David Ogilvy, *Ogilvy on Advertising*)⁴⁴

43. Ron Brandt, "On Leadership and Student Achievement: A Conversation with Richard Andrews," Educational Leadership 45 (September 1987): 9-17, p. 13.

44. Peters and Austin, 310.

Blumberg and Greenfield labeled the eight principals they interviewed in terms that reflected the characteristics of their administrative behavior. They did not believe however that the styles that emerged were the only ones possible.

1. the organizer: a whirling dervish of a problem solver. This principal would sense a need, recognize that there was a problem, get the facts, and then reached out for help.

2. the value based juggler: upfront with kids' interests. While maintaining the system in balance, this principal wanted to create new opportunities for learning and to enhance his image as a value-oriented administrator whose primary concern was students.

3. the authentic helper: I am myself - and comfortable about it. This principal provided information, created gaps and let staff make choices.

4. the broker: the low-key service man who confronted. This principal used firmness combined with flexibility and willingness to engage collaboratively with others in problem solving.

5. the humanist: the name of the game was "people plus follow through." This principal maintained balance while at the same time maintaining momentum and direction.

6. the catalyst: stirring the pot to create action. This principal would "turn the place upside down for kids." It was also important to her that things were happening and that people were alive in her school.

7. the rationalist: a new lady on the hill. This principal felt that if a program was not producing that rational people would want to change it.

8. the politician: "It is really a political game, ...?" This principal had a political sensitivity to faculty, parents and Central Office. He was aware of where the power rested and whom to contact to get a crucial vote on his side.⁴⁵

What commonalties were found among these eight styles? Although different strategies were used based on personnel perspectives of their role, they all maintained a "proactive" stance towards problem solving. They all were actively involved with teachers, students and parents and felt that this people orientation was an important ingredient of success.

The style of the leader's relationship to followers was eloquently expressed by a military officer that was quoted by Peters and Austin:

You cannot expect a soldier to be a proud soldier if you humiliate him. You cannot expect him to be brave if you abuse him and cow him. You cannot expect him to be strong if you break him. You cannot ask for respect and obedience and willingness to assault hot landing zones, hump back-breaking ridges, destroy dug-in emplacements if your soldier has not been treated with respect and dignity which fosters esprit and personal pride. The line between firmness and harshness, between strong leadership and bullying, between discipline and chicken, is a fine line. It is difficult to define, but those of us who are professionals, who have also accepted a career as a leader of men, *must* find that line. It is because judgment and concern for people and human relations are involved in leadership that only men can lead, not computers. I enjoin you to be ever alert to the pitfalls of too much authority. Beware that you do not fall into the category of the little man, with a little job, with a big head. In essence, be considerate, treat your subordinates right, and they will literally die for you.⁴⁶

45. Blumberg and Greenfield.

46. Peters and Austin, 343.

Coaching has been a term that has been used in terms of teachers working with other teachers to improve instructional performance. Peters and Austin used the term to describe the leadership's behavior toward followers. They described it as:

...face-to face leadership that pulls together people with diverse backgrounds, talents, experiences and interests, and encourages them to step up to responsibility and continued achievement, and treats them as full scale partners and contributors.⁴⁷

They saw coaching as facilitating but not in the sense of watering down but rather in the sense of removing obstacles to success. Elements of coaching are visibility, listening, limit-setting, value-shaping, skill stretching.⁴⁸

Bennis discussed "the transformative power of leadership:....the ability of the leader to reach the souls of others in a fashion which raises human consciousness, builds meaning and inspires human intent that is the source of power."⁴⁹ In this schema leadership is not measured by points on a grid or by a system. Rather:

47. Ibid., 384.

48. Ibid., 384.

49. Warren Bennis, "Transformative Power and Leadership," in Leadership and Organizational Culture, eds. Thomas J. Sergiovanni and John E. Corbally (Chicago: University of Illinois Press, 1986), 64-71, p. 70.

Effectiveness is...measured by the extent to which 'compelling vision' empowers others to excel; the extent to which individual and organization are bonded together by common commitment in a mutually symbiotic relationship.⁵⁰

Peters' and Waterman's principles of effectiveness and excellence⁵¹ have been widely read. Their first principle "a bias for action" corresponded to Blumberg's and Greenfield's finding that their eight principals maintained a "proactive orientation." The second principle "close to the customer" can easily be translated to "for the kids," an expression used by several of the principals. Another of Peters' and Waterman's principals - "simultaneous loose-tight properties" - was also exemplified by Blumberg and Greenfield's principals in that while they attempted to include staff in various processes, they could also stand firm in their role as the "administrator" or when they needed to defend the goals of their organizations.

Also related to the issue of style, are the types of perceptions with which one views the world and the ways in which one makes judgments. In simplistic terms, two types of perceptions are sensation and intuition. Again in simplistic terms, judgments are made through thinking or feeling. Style does not have to have a positive or negative

50. Ibid., 71.

51. Peters and Waterman.

valence - thinking is not better than feeling. Rather, importance is placed on the effective use of one's style. Therefore, not only must the leader be aware of his or her style because it will affect administration, perspectives on change, motivation, supervision, and definition of leadership but because he or she has to work with others, they need to understand that others may or may not perceive or make judgments in the same manner. The impact of style can be seen in the example of: "A thinking cognitive style will help me focus on intellectual knowledge and skills. A feeling trait is likely to concentrate my attention on educating the whole child."⁵²

Leadership in "High Performing Systems" was seen by Vaill as being consistent within a given system: "...it does not swing between cool/warm, close/distant, demanding/laissez faire. Leaders are experienced as reliable and predictable."⁵³ Vaill went on to say that leaders in systems that are doing well put in a great deal

52. Pat Burke Guild, "How Leaders' Minds Work," in Leadership: Examining the Elusive, eds. Linda Sheive and Marian Schoenheit, (1987 Yearbook: ASCD), 81-92, p. 88.

53. Peter B. Vaill, "The Purposing of High Performing Systems," in Leadership and Organizational Culture, eds. Thomas J. Sergiovanni and John E. Corbally, (Chicago: University of Illinois Press, 1986), 85-104, p. 87.

of time, are committed to reaching the system's goals and they maintain focus. For Vaill, a particular style, as long as it was consistent, was not necessary

In summary, style no longer is seen as an either-or proposition as in Theory X or Theory Y. Situational variables appear to determine the type of strategies used. Style seems to be defined by the values of the leader in terms of the organization, his or her relationships with staff and the importance he or she places on the customers. Current thinking does not support classical thinking where the leader is in a power position. Rather the power of the leader, when used, is a means not an end. Style is likely to be given terms such as enabler, transformer, interpreter of culture. At this point, style seems to be very closely linked with role.

Roles of the Principal

The role of the principal has been widely investigated in terms of its history, role expectations and current role functioning. And at the same time, "the profession has struggled with whether the principal is an instructional leader or a building manager, a member of the school family of professional educators or a mid-level management representative of the central administration."⁵⁴ In essence

54. Wilma F. Smith and Richard L. Andrews, eds.,

the role has changed from head teacher to principal-teacher to supervisor to educational leader. While the principals of today no longer have to build the fires to warm the one-room schoolhouses, they still perform many of the tasks that run the school on a day-to-day basis and this is especially true at the elementary level. What has changed is that these many tasks are not the basis for the principal's position to exist. Rather, other dimensions are being emphasized such as communication, development of visions, creating and sustaining a culture. Saxe in 1964 attempted to prophesize what the role of the principal would be in the mid-80's:

...I see the role of tomorrow's principal as that of a strategist who takes the discrete human and materials components of a school and its community and both rationally and artfully combines them to build a functioning whole, an educational instrument for a particular group of pupils in a particular locality at a particular juncture in time.⁵⁵

Instructional Leadership: How Principals Make A Difference
 (Alexandria, Va.: ASCD, 1989), 21.

55. Richard W. Saxe, Perspectives on the Changing Role of the Principal, (Springfield, Ill.: Charles C. Thomas, Publisher, 1968), 294-295.

Smith and Andrews organized the various descriptors of principal-teacher interactions into four areas: (1) principal as resource provider, (2) principal as instructional resource, (3) principal as communicator, and (4) principal as a visible presence.⁵⁶ In the principals they studied, both a variety of styles were seen and various strategies were used.

Knezevich summarized a number of roles and some of the competencies desired to fulfill them:

Major Role	Competencies Desired
Direction Setter	Competency in identifying, clarifying and writing clear objectives.
Leader-Catalyst	Competency to motivate, stimulate and influence human behavior. Sensitivity to and skill in group dynamics are of value.
Planner	Competency in identification of future challenges, preparation of personnel and management of change.
Decision Maker	Competency in system analysis and problem solving.
Organizer	Competency in organizational dynamics and behavior.

56. Smith and Andrews.

Change Manager	Competency in assessing climate and knowledge of change strategies, communication, development of personnel, and evaluation.
Communicator	Competency in oral and written language and in use of media.
Coordinator	Competency in communication, supervision and an understanding of human relations patterns.
Conflict Manager	Competency in conflict identification, bargaining, mediation and conflict resolution.
Problems Manager	Competency in problem diagnosis and problem solving even when not at a conflictual stage.
System Manager	Competency in systems analysis and management.
Instructional Manager	Competency in instructional technology and curriculum development.
Personnel Manager	Competency in personnel leadership, appraisal and negotiations.
Resource Manager	Competency in school finance, materials management, and facilities construction and management.
Appraiser	Competency in needs assessments, evaluation systems and statistics.
Public Relater	Competency in communication skills, interpersonal relations and image enhancement.
Ceremonial Head	Competencies in many areas listed. ⁵⁷

 57. Stephen J. Knezevich, Administration of Public Education, 4th ed., (New York: Harper & Row, Publishers), 1984, 16-18.

Knezevich did not see these roles being distinct and incompatible but rather that:

Each role is a part of an interrelated set and hence some degree of overlap is to be expected. What makes administration an art is the ability of the administrator 'to pull it all together'.⁵⁸

Burlingame cited Mintzberg who divided the roles of administrators into interpersonal, informational and decisional areas. Within the interpersonal sphere are leadership, figurehead and liason activities. Organizational spokesperson falls into the informational role. The decisional sphere finds the administrator as a negotiator, resource manager and conflict handler.⁵⁹

Some make a distinction between leadership and management. Bennis stated about a group of CEOs he had studied:

...they viewed themselves as *leaders* not *managers*, which is to say that they were concerned with their organization's basic purposes, why it exists and its general direction. They did not spend their time on the 'how to...', the proverbial 'nuts and bolts,' but with purposes and paradigms of action. In short, they were not concerned with 'doing things right' (the overriding concern of managers) but with 'doing the right thing'.⁶⁰

58. Ibid., 19.

59. Henry Mintzberg, The Nature of Organizational Work (New York: Harper & Row), 1973 cited in Martin Burlingame, "Theory Into Practice: Educational Administration and the Cultural Perspective," in Leadership and Organization Culture, eds. Thomas J. Sergiovanni and John E. Corbally (Chicago: University of Illinois Press, 1982), 295-309, p. 296.

60. Bennis, 66.

Dwyer, et al., conceptualized the principal's role in instructional management as consisting of the community, institutional context and the principal's beliefs and experiences which affect and are affected by the principal's routine behaviors. The beliefs and experiences variable consisted of the principal's professional experiences, personal history and his or her philosophy of schooling. The principal's routine behaviors affect and are affected by the instructional climate and instructional organization. In turn, the principal with his or her beliefs and experiences, routine behaviors along with the instructional climate and instructional organization affect and are affected by student outcomes.⁶¹

Thomas Greenfield summarized Wolcott's study of principal Ed Bell:

Wolcott's study lets us see Ed Bell, a man whose life is filled every day with little things, with many little things. While none of these things is of great movement, yet each act is necessary, unavoidable, and filled with meaning. He chases a dog off the school grounds, he takes time to pick up his wife's car from the garage, he traces down a lost cupcake from a second grader's lunchbox, he explains to three fifth grade girls who 'teamed up' and came to school in pedal pushers why they must 'dress like ladies,' he fills in for a teacher who is late, he discusses a 'problem boy' with a guidance committee and he explains and demonstrates new lunchroom procedures to the first and second graders. His day goes from early to late....⁶²

61. David C. Dwyer, Bruce C. Barnett and Ginny V. Lee, "The School Principal: Scapegoat or the Last Great Hope?" in Leadership: Examining the Elusive, eds. Linda Sheive and Marian B. Schoenheit, (1987 Yearbook: ASCD), 30-46.

William Greenfield described the principal's day as:

...responding to 'situational imperatives' - events and activities that demand immediate attention - which if not attended to have a high potential to threaten the stability of the school situation (including the capacity of teachers to teach and the opportunities for youngsters to learn).⁶³

Taking issue with those that emphasized the "instructional leadership" component as a prescription for more effective schools, he postulated that principals in reality are doing what they know has to be done given their particular situations. For William Greenfield, effectiveness in a school was determined by "the degree of fit between the demands of the situation and the knowledge, skills, and dispositions of the actor in that situation, in this case the school principal."⁶⁴ He outlined features of principals' work situations:

1. The relationship between a school and its system is loose. Each school is more or less a self-contained entity, and its primary concerns are its immediate participants and setting....The focus of the principal is inward, giving primary attention to what is occurring in his or her school.

62. Thomas B. Greenfield, "Leaders and Schools: Willfulness and Non-natural Order in Organizations," in Leadership and Organizational Culture, eds. Thomas J. Sergiovanni and John E. Corbally (Chicago: University of Illinois Press, 1986), 142-169, p. 161.

63. William D. Greenfield, 209.

64. Ibid., 210.

2. The dominant values in the larger system are 'peace-keeping' and loyalty. Keeping the school and the district running smoothly and communicating loyalty to superiors are uppermost in minds of school administrators, and serve to foster the stability of an organization that is extremely susceptible to parental and community pressure and other external influences.

3. The demands placed on the school principal are frequent and varied, and call for quick responses. This fosters a reactive stance on the part of the principal, and much that occurs does so unpredictably....As Wolcott (1973) observed, virtually every problem that arises is viewed as important by a school principal.

4. Teachers have total responsibility for production (instruction) in their classrooms....What occurs between one teacher and another or between a teacher and the principal has no necessary bearing on what happens elsewhere in the school....There is little concern by most teachers for what occurs beyond their classroom door.

5. The work effort of the principal tends to focus on individuals rather than on groups....Efforts to introduce change tend to emphasize changes in individual behaviors, not group norms.

6. Schools are under attack, reflect a culture built on a history of vulnerability to the public, and are not very secure environments. School goals are often ambiguous, it is difficult to demonstrate effectiveness to the public, and schools are often unsure of their very reason for being.

7. ...teachers and principals confront a normatively complex situation characterized by competing and sometimes conflicting standards of good practice. This is exacerbated by a heterogeneous clientele, a teacher culture that values individual autonomy in teaching practices, and a tradition that emphasizes 'learning by doing,' 'doing it on your own,' and 'getting through the day.' It is not a reflective culture, and places a low value on technical knowledge and evaluation of practice....There is little discussion of or consensus about standards of good practice.

8. The work that occurs in schools is mediated through dyadic and larger-group interactions. The school is a highly normative social situation, and this places a heavy reliance on interpersonal exchanges as the primary vehicle through which teachers and principals influence one another, children, and others. Communication is primarily oral and face-to-face.

9. The social order in schools is transitory, highly vulnerable to internal and external threats to stability, and always subject to renegotiation. A complex of professional, organizational, cultural, and environmental forces come together in a school, and there is ongoing competition and conflict over the distribution of ideological and other resources. The school is a political arena, and principals and teachers are critical political actors in the game of schooling, with some having more influence than others.

10. The average span of control of supervisors in industry and other work sectors is considerably more narrow.⁶⁵

Greenfield's point was that any attempt to change the training of administrators or how they lead their schools has to consider the realities of leadership within schools. Important for Greenfield were the personal qualities that the principal brings to the above situation so that there may be a fit. In his work with Blumberg, they deduced qualities that would seem to enhance a principal's work:

-Being goal oriented and having a keen sense of clarity regarding instructional and organizational goals;

-Having a high degree of personal security and a well-developed sense of themselves as persons;

65. Ibid., 210-212.

-Having a high tolerance for ambiguity and a marked tendency to test the limits of the interpersonal and organizational systems they encounter;

-Being inclined to approach problems from a highly analytical perspective and being highly sensitive to the dynamics of power in both the larger systems and in their own school;

-Being inclined to be proactive rather than reactive, to be in charge of the job and not let the job be in charge of them;

-Having a high need to control a situation and low needs to be controlled by others - they like being in charge of things and initiating action;

-Having high needs to express warmth and affection towards others, and to receive it - being inclined toward friendliness and good-natured fellowship;

-Having high needs to include others in projects on problem solving, and moderate to high needs to want to others to include them.⁶⁶

Discussions of roles have to take into account the role expectations of the various groups that relate to the roles. The greater the discrepancy between the expectations of the various groups, the greater the likelihood for conflict. At the top are the role expectations of the school board which are set forth formally in the job description and informally through oral and verbal messages. Teachers have role expectations that are likely not set forth in any document. Gorton reported that teachers (1) expect that the school administrator should support his or her teachers on issues and problems of school discipline,

66. Blumberg and Greenfield, 181-185.

(2) want the school administrator to treat them as professional colleagues with different but equal roles, rather than as subordinates and (3) want the school administrator to provide opportunities for teachers to participate in school decision making especially concerning issues that directly affect them.⁶⁷ In addition to the work with the students, parents expect the school administrator to develop relationships with them and keep them informed, to be responsive to individual parents and to maintain a good image of the school in the community. Students also have expectations of the school administrator which usually focus on how he or she relates to their wants and needs. Additionally, although usually never stated directly, students want the school administrator to provide a sense of security for them. And not to be forgotten, the school administrator comes to the position with a set of his or her own expectations. An aspect of the principal's job is to understand these expectations and to be able to manage them in such a way that disagreements do not have to split the organization.

67. Richard A. Gorton, School Administration and Supervision (Dubuque, Iowa: Wm. C. Brown Company Publishers, 1983), 82-83.

In summary, the various moment-to-moment, day-to-day tasks the principal performs are generally categorized and these categories become descriptors for the roles the principal plays. It has become a misnomer to talk about the role as if it is a singular entity that encompasses all the dimensions of the principalship. While many lists of the roles can be found, some more expansive than others, they basically all formulate the position of the principalship in the same conceptual framework. And while distinct categories are created, each one should not be thought of as unrelated to the others because in the actual day-to-day functioning, principals are often performing many roles almost simultaneously without the change of hats even being noticed. The competencies needed to fulfill the various roles, regardless of their label, are very similar. Regardless of the particular role being fulfilled, certain personal characteristics appear to make a difference in the effectiveness of the role.

Philosophy of Schooling

What are the desired outcomes of schooling? The answer to this question has certainly changed since the first public schools were created. The response in the beginning of public schools was a simplistic one - to teach children to read so they could read the scriptures. The

response in 1990 in no way can be limited to one succinct purpose. Rather, the response today can be as varied and intricate as the society in which schools exist. In education a philosophy of schooling or the *raison d'etre* for schools is generally shaped by the forces and thought in society at a particular point in time. Expectations of an earlier time become assumptions at a later point with additional expectations added. The history of what schools should do has not eliminated outcomes but rather has increased them. This has created some of the stress felt in schools today in terms of the question "What is our focus?" The program that schools create for their students generally falls under the area of curriculum. The principal as a visionary and the instructional leader becomes an important variable in maintaining or changing desired outcomes.

Unruh and Unruh reported that:

In conservative times - the 1850s, 1950s and 1980s...focus has typically been on more attention to academics, the basics, discipline, curriculum coherence, and the special needs of talented students. In more liberal times - the 1930s, 1960s, and early 1970s - attention transferred to social issues, personal development, and other non-academic functions of schooling.⁶⁸

68. Glenys G. Unruh and Adolph Unruh, Curriculum Development, (Berkeley: McCutchan Publishing Corporation, 1984), 2.

Contemporary concerns are excellence in education, graduation requirements, improving curriculum and instruction, and teaching thinking and problem solving skills.

For example, the teaching of academic subjects for general information and skill building is not generally debated, although methods of teaching may be. The other side of the coin from academics has been given various terms: moral development, character development, discipline, values clarification, affective development. Issues related to the teaching of these areas become more overt the farther they appear to stray from what traditionally is thought of as the responsibility of schools. Discipline within schools, within the boundaries of students' rights, is not as likely to be criticized as is curriculum that touches on sensitive areas such as morality and values. As many as there are groups in a community, there are likely to be recommendations and goals about what should be taught aside from the "3 Rs."

An ASCD Panel on Moral Education advocated their belief that since "morally mature citizens" are necessary to a democratic society, schools must contribute to the education of these citizens. Their suggestions for how to

meet this goal offered guidelines for implementation of this particular philosophy but can also be generalized to meet other philosophical goals.

1. All levels of those involved in schools should review their commitment to promoting moral education in schools.

2. Education should form partnerships with many societal groups to create a social and cultural context that supports the school's efforts to develop morally mature citizens.

3. Schools should define and teach a morality of justice, altruism, diligence, and respect for human dignity - universal moral values that coincide with traditional religious teachings but stand on their own as authentic secular values.

4. Schools should extend their moral education efforts beyond the cognitive domain to include the affective and the behavioral.

5. Moral education for younger students should include socialization into appropriate patterns of conduct and for older students, education for cultural thinking and decision making.

6. Educators should continually examine the institutional practices of school life to ensure that climate and instructional practices contribute to the same moral growth.

7. Further research is urged on what works well in moral education.

8. Educators should regularly assess the moral climate of schools and the conduct of students and communicate the results of these assessments to their communities.

9. Schools should establish and convey clear expectations for teachers and administrators regarding their roles as moral educators.

10. Teachers should be trained and retrained to have the necessary knowledge, attitudes and skills to fulfill their moral education responsibilities.⁶⁹

Sergiovanni cited Kliebard who used metaphors to describe the mission of schooling:

The Metaphor of Production

The curriculum is the means of production and the student is the raw material which will be transformed into a finished and useful product under the control of a highly skilled technician. The outcome of the production process is carefully plotted in advance according to rigorous design specifications, and when certain means of production prove to be wasteful, they are discarded in favor of more efficient ones. Great care is taken so that raw materials of a particular quality or composition are channeled into the proper production systems and that no potentially useful characteristics of the raw material is wasted.

The Metaphor of Growth

The curriculum is the greenhouse where students will grow and develop to their fullest potential under the care of a wise and patient gardener. The plants that grow in the greenhouse are of every variety, but the gardener treats each according to its needs, so that each plant comes to flower. This universal blooming cannot be accomplished by leaving some plant unattended. All plants are nurtured with great solicitude, but no attempt is made to divert the inherent potential of the individual plant from its own metamorphosis or development to the whims and desires of the gardener.

The Metaphor of Travel

The curriculum is a route over which students must travel under the leadership of an experienced guide and companion. Each traveler will be affected differently by the journey since the effect is at least as much a function of the predilections, intelligence, interest and intents of the traveler as it is to the contours of the route. This variability is not only inevitable, but wonderful and desirable. Therefore, no effort is made to anticipate the exact nature of the effect on the traveler; but a great effort is made to plot the routes so that the journey will be as rich, as fascinating, and as memorable as possible.⁷⁰

69. ASCD Panel on Moral Education, "Moral Education in the Life of the School," Educational Leadership 45 (May 1988): 4-8.

70. Herbert M. Kliebard, "Metaphorical Roots of Curriculum

When the principal is involved in curriculum, his or her task is not mere management. "Curriculum leaders must know how children learn, how they can be motivated to grow in their educational experiences, and how to select content that will expand knowledge."⁷¹ Given the many appropriate options for content, the principal as curriculum leader must make choices. For example, if high expectations for students and teachers is a value, certain beliefs will follow:

1. Every student and adult has intrinsic worth.
2. Every human being...has a need to achieve and to be recognized.
3. Every student and adult should have opportunities for growth and self-improvement.
4. Every student and adult has the need to belong, to be a member of the group, to be an insider.
5. Every student needs many opportunities to contribute to the lessons, to the discussion, to the progress of the group. Every teacher needs opportunities to be involved in curriculum planning, strategy development, evaluations, follow-up action.
6. Every person in the school should have the right to know whether he or she is progressing and to what degree.

 Design," Teachers College Record 73 (1972): 403-404, quoted in Thomas J. Sergiovanni, The Principalship - A Reflective Practice Perspective (Boston: Allyn and Bacon, Inc., 1987), 104-109.

71. Ibid., 43.

7. Every student and adult should be regarded as a unique combination of attitudes, abilities, skills, intelligence, understandings, insights, stamina, perceptions, and motivations; and special abilities and interests should be utilized in the pursuit of effective learning.
8. Every honest inquiry merits attention, and every student's question should be given honest attention. Every teacher who comes to the supervisor or principal with a problem should receive considerate assistance and not be penalized with a critical note....⁷²

In summary, the particular philosophy being espoused often reflects the feeling in the general society regarding the purpose(s) of schools. More conservative time periods focus on the technical aspects of schools with more definitive outcomes expected. Eras considered to be more liberal, or open, tend to increase the focus to include more intellectual purposes - such as "thinking curriculums" - and non-academic areas such as affective and moral development.

72. Ibid., 47-48.

Values In Other Disciplines

The field of social work best exemplifies a profession that operates with a set of values that guides the behaviors of its members. In 1955 the Commission on Social Work Practice posited a "Working Definition of Social Work Practice." This definition gave impetus to many questions regarding the nature of social work practice. The Working Definition was seen as one that would keep evolving as the profession grew and evolved. In 1958 the working definition was printed. Under the subheading of Value, it was stated that there were certain basic concepts in social work practice:

1. The individual is the primary concern of this society.
2. There is interdependence between individuals in this society.
3. They have social responsibility for one another.
4. There are human needs common to each person, yet each person is essentially unique and different from others.
5. An essential attribute of a democratic society is the realization of the full potential of each individual and the assumption of his social responsibility through active participation in society.
6. Society has a responsibility to provide ways in which obstacles to this self-realization...can be overcome.⁷³

73. "Working Definition of Social Work Practice," Social Work 3 (April 1958): 5-8.

In terms of practice, both knowledge and values have to guide interventions.

Biestek succinctly stated the value orientation as "...its [social work] supreme value [is] the innate dignity and value of the human being."⁷⁴ The profession of social work operates with a Code of Ethics which serves as an "index of values."⁷⁵ Among them are individualization, self-determination, confidentiality, right to self-realization.⁷⁶ In 1966 the Council on Social Work Education cosponsored a conference which addressed issues related to values. Values were seen as "[invisible] guiding forces...[they] provide order and direction."⁷⁷

Although individuals, organizations and other disciplines utilize values in decision making, in contrast to social work where specified values are constant:

The individual (or organization) makes broad decisions regarding the values to which he is going to direct his activities, the general method he is going to use to attain these values, and the knowledge, skills, and information he will need to make particular decisions within the limits of the policy laid down and to carry out the decisions.⁷⁸

74. Felix P. Biestek, S.J., Client Self-Determination in Social Work, (Chicago: Loyola University Press, 1978), 1.

75. Ibid., 5.

76. Ibid., 5.

77. Ibid., 133-134.

78. Herbert A. Simon, Administrative Behavior, 3rd ed., (New York: The Free Press, 1976), 96.

In social work values are not options from an infinite array. And because of the constancy of values in social work, all members of the profession are acculturated to know and accept the values as a prerequisite of membership.

Peters and Waterman found that the beliefs of excellent companies included a few basic values:

1. A belief in being the "best"
2. A belief in the importance of the details of execution, the nuts and bolts of doing the job well
3. A belief in the importance of people as individuals
4. A belief in superior quality and service
5. A belief that most members of the organization should be innovators, and its corollary, the willingness to support failure
6. A belief in the importance of informality to enhance communication
7. Explicit belief in and recognition of the importance of economic growth and profits.⁷⁹

There is a distinctly different flavor to these values than to the values espoused by the field of social work. In social work the values are not concerned with the provider of the service or the organization providing the service other than the expectation of ethical standards. Instead, the values are concerned with what the service provider believes about the client, or customer to use business

79. Peters and Waterman, 285.

terminology. The difference described here may be at least partially explained by differences between for-profit and non-for-profit organizations where clients, or customers, are not always voluntary. A borderline case would be those organizations that provide social services but are also for-profit, as in for-profit psychiatric hospitals. Public schools clearly fall into the non-for-profit group where while attendance is not voluntary, it is a right.

While the value bases may be different in disciplines such as social work and business, the relationship of the leader to values, whatever they may be, may not be so different. Peters and Waterman quoted Thomas J. Watson from his book A Business and Its Beliefs about his experiences at IBM:

...This then is my thesis: I firmly believe that any organization, in order to survive and achieve success, must have a sound set of beliefs on which it premises all its policies and actions. Next, I believe that the most important single factor in corporate success is faithful adherence to those beliefs. And finally, I believe if an organization is to meet the challenges of a changing world, it must be prepared to change everything about itself except those beliefs as it moves through corporate life. In other words, the basic philosophy, spirit, and drive of an organization have far more to do with its relative achievements than do technological or economic resources, organizational structure, innovation, and timing. All these things weight heavy in success. But they are, I think, transcended by how strongly the people in the organization believe in its basic precepts and faithfully they carry them out.⁸⁰

80. Peters and Waterman, 280.

If Watson's words "organization" were changed to social work discipline, his thesis can be easily adopted. In essence, without specifying it, he described the value of integrity - both of the organization and of the people within it.

Values in Education

With its emphasis on effectiveness and the role of the principal in setting up conditions that will attain effectiveness in schools, the process of leadership takes on a technical emphasis as if to say: "If principals are a, b and c, and they do d, e and f, then school effectiveness as measured by student outcomes will be insured. The question that is then raised is whether these prescribed traits and behaviors are both necessary and sufficient in the quest for effectiveness. The focus of this study is not measures of effectiveness but rather to look at what principals need to bring to the organization that might help in achieving the goals. There are those, especially today, that argue that certain personality traits and leadership activities are certainly necessary in establishing quality laden schools, but that they are not sufficient. An added component appears to be the ethics and values that a principal brings to the situation. Values without action accomplish nothing and action without direction is meaningless.

Values of educational administrators are seen in the choices they make in programs, how they work with their staffs and what they believe for their students. In fact, values are an inherent part of every decision a leader makes. Sharples argued that consideration of values in education is not a new phenomenon, but rather one that has been forgotten.⁸¹

Once established that educational leaders should have a value base from which they operate, the question becomes one of whether there is a prescribed set of values they must have. Calabrese listed ten guidelines that speak to ethical leadership:

1. Develop a vision consistent with sound educational philosophy.
2. Apply strong moral leadership.
3. Condemn discriminatory practices.
4. View effective teaching as a duty.
5. Build community.
6. Balance the rights of all groups.
7. Rights issues are not always popular issues.
8. Base decision making on what is right for the members of the school community.
9. Make moral courage an integral part of the principal's role.

81. Brian Sharples, "Values: The Forgotten Dimension in Administration," Education Canada 24 (1984): 32-37.

10. Communicate ethical behavior, integrity and moral action.⁸²

What Callabrese listed certainly fell within ethical guidelines for behavior but they are not really value statements. For example, in order to accept that the rights of all groups should be balanced, one needs to believe that "All groups regardless of their individual characteristics and needs are entitled to equal treatment."

On a broader scale, Peters and Austin in looking at "excellence in school leadership" found an analogy to Peters' and Waterman's principle of "close to the customer." In schools the principle becomes "for the kids."

Sergiovanni provided a framework of values that guide administrators today:

1. Leadership by purpose
2. Leadership by empowerment
3. Leadership as power to accomplish
4. Leadership as a shared process
5. Leadership to build identity and commitment
6. Leadership to gain believers
7. Leadership by simplicity
8. Leadership by non-negotiable values
9. Leadership as reflection in action.⁸³

82. Raymond L. Calabrese, "Ethical Leadership: A Perspective for Effective Schools," NASSP Bulletin 72 (December 1988): 1-4.

83. Sergiovanni, 340-343.

Lamb and Thomas called attention to the "minister" role in the word "administration" which the principal does "by encouraging them [staff] to discover new talents and to make a larger contribution to the school district."⁸⁴ They added that "more than any other quality, schools need leaders who care for each other, who are honest with each other, and who (as in the old days) love the kids and appreciate the teachers."⁸⁵ They clearly pointed out that caring did not imply a soft approach or tolerating less than acceptable behavior. On the contrary:

...the ability to minister strengthens leadership, enhances relationships, motivates towards higher achievement, and clarifies one's responsibilities. One who cares for others does not tolerate mediocrity; one expects excellence from oneself, from one's colleagues, and from students.⁸⁶

Caring does not expect to put people into dependent relationships but rather pushes towards self-actualization.

Gorton presented the standards of ethical behavior developed by the national administrators' associations in 1973:

84. Ronald Lamb and Donald Thomas, "The Principalship - The Calling and Its Requirements," NASSP Bulletin 68 (January 1984): 20-25, p. 21.

85. Ibid., 21.

86. Ibid., 21.

Statement of Ethics

Summary of preface: An educational administrator's professional behavior must conform to an ethical code which must be both idealistic and practical so that it is applicable to all educational administrators. While the administrator acknowledges that the schools belong to the public, they assume responsibility for providing leadership in the school and community. This responsibility requires the administrator to maintain high standards of exemplary professional conduct since their actions will be viewed and assessed by the community, professional associates, and students. To these ends, the administrator subscribes to the following statements of standards:

1. Makes the well-being of students the fundamental value in all decision making and actions.
2. Fulfills professional responsibility with honesty and integrity.
3. Supports the principle of due process and protects the civil and human rights of all individuals.
4. Obeys local, state, and national laws and...does not join or support organizations that advocate ...the overthrow of the government.
5. Implements the governing board of education's policies and administrative rules and regulations.
6. Pursues appropriate measures to correct those laws, policies, and regulations that are not consistent with sound educational goals.
7. Avoids positions for personal gain through political, social, religious, economic or other influence.
8. Accepts academic degrees or professional certification only from duly accredited institutions.
9. Maintains the standards and seeks to improve the effectiveness of the profession....
10. Honors all contracts until fulfillment or release.⁸⁷

87. Gorton, 501.

In final review, the concept of leadership has undergone evolutionary change in terms of its conceptualization. Rather than attributing a particular framework to define the position of the leader in relation to the followers, leadership is now assessed in terms of the personal competencies and beliefs the leader brings to his or her position. Almost synonymous with the concept of leadership is the concept of effective leadership. Implied is that effective leaders bring different properties with them to their positions than ineffective leaders.

Every discussion of effective leadership has stated that effective leaders have vision and are able to implement activities to fulfill the vision. On a simplistic level, vision arises from assessed needs. On a deeper level, vision which has the school and students at heart is related to a principal's philosophy of schooling. Through the principal's values and roles, vision and philosophy are fulfilled. The style with which the principal carries out his or her roles is not as important as the consistency and integrity he or she brings to the roles.

Values have come to be recognized as crucial components of vision, style, roles, and philosophy. At this point in time, while ethical leadership is advocated, there is not a set core of values that is formally presented to aspiring principals as a component of the educational and

socialization process. Value conflicts are likely to arise when there is a discrepancy between personal beliefs and organizational values and expectations and when there are competing standards of goodness which place the principal in the middle. There is not a great deal of literature on specific value conflicts. One hypothesis for this is that those who could not tolerate the conflict have left the profession and thus are not available for comment.

The remainder of this dissertation will focus on the areas of vision, value conflicts, style, roles, and philosophy of schooling with a group of selected principals.

CHAPTER III

PRESENTATION OF FINDINGS

Review of Method

The findings presented below are the results of a qualitative study examining the personal beliefs and values of a selected group of elementary school principals. In-depth interviews were held on an individual basis and used a semi-structured interview schedule. The interviews were transcribed verbatim and these dialogs became the data base. In addition, half of the principals interviewed were also visited at their schools during a regularly scheduled school day.

The group of principals was a convenience sample but were chosen because they were elementary level principals, had Type 75 Administrative Certificates and had more than one year's experience in the principalship. No attempt was made to solicit principals by personal characteristics other than those stated above or by the demographic characteristics of the group or their schools. Table I presents the personal characteristics of the principals who participated and Table II presents the site characteristics.

As can be seen from Table I, this group of principals was neither young nor inexperienced. They all held Type 75 Administrative Certificates from the State of Illinois in addition to various teaching certificates. One principal also held a superintendent's certificate. Four of the principals had doctorates, one had completed classes but not his doctoral dissertation and one was enrolled in a doctoral program. The remaining principals had Master's degrees.

Table II shows the sites to be varied in their characteristics. The one K-8 building seemed to be unusual for a suburban district. As can be seen, buildings seemed to be divided into primary buildings or K-5 buildings with 6-7-8th grades representing a junior high or middle school structure. Only three of the schools had assistant principals. Two of the three were in the more affluent northern suburban schools.

Four of the ten principals also held a second position in their districts: Roberts was also an Assistant Superintendent for his district; Edwards was principal of two small schools; Marks was the curriculum coordinator for her district; and Allen headed the PPS team in her district. Six out of the ten had experience as an Assistant Principal prior to their first principalship. The others had district level curriculum/supervisory experience. One principal had been a superintendent.

Table I
Personal Characteristics

NAME	SEX - AGE	RACE	DEGREE	TOTAL YEARS EDUC.	TOTAL YEARS PRINC.	YEARS CURRENT POSITION	PRIOR POSITION
ALLEN	F 51	B	M.A.	23	8	8	ASSISTANT PRINCIPAL
DAVIS	M 42	W	Ph.D.	18	14	10	ASSISTANT PRINCIPAL
LEWIS	M 42	W	M.A.*	21	16	11	ASSISTANT PRINCIPAL
MARKS	F 42	W	M.A.**	20	8	8	ASSISTANT PRINCIPAL
OLDS	M 43	W	M.A.	22	5	5	ASSISTANT PRINCIPAL
MILLER	M 41	W	Ph.D.	19	13	4	DISTRICT - CURRICULUM
EDWARDS	F 46	W	M.A.	25	2	2	DISTRICT - CONSULTANT
PAYNE	M 53	W	M.A.	35	10	10	DISTRICT - SUPERVISOR
ROBERTS	M 53	W	Ed.D.	30	13	2	DISTRICT SUPER.
JOHNS	M 42	W	Ed.D.	19	13	13	ASSISTANT PRINCIPAL

* Has taken doctoral courses but is A.B.D.

** Currently enrolled in a doctoral program.

Table II
School Characteristics

SITE	GRADES - # STUDENTS	ETHNIC/RACIAL BACKGROUND OF STUDENTS	SES OF STUDENTS*	TOTAL STAFF+	ASSISTANT PRINCIPAL
ALLEN	K-2** 196	W 43% B 25% H 12%	LOWER TO MIDDLE	11	NO
DAVIS	6-7-8** 570	W 50% B 40% H 10%	LOWER TO MIDDLE	52	YES
LEWIS	6-7-8** 450	W 88% A 12%	UPPER MIDDLE	48	YES
MARKS	1-2** 125	H	LOWER	15	NO
OLDS	K-5** 390	W 75% A 25%	UPPER MIDDLE	44	NO
MILLER	6-7-8** 607	W 72% B 10% H 5% A 13%	UPPER MIDDLE***	55	YES
EDWARDS	1-2** 205****	W 55% B 25% H 20%	LOWER TO MIDDLE	35****	NO
PAYNE	K-2** 500	W 67% B 33%	LOWER TO MIDDLE	40	NO
ROBERTS	K-6** 571	W 14% B 86%	LOWER MIDDLE	40	NO
JOHNS	K-8** 570	W 20% B 80%	MIDDLE	40	NO

W=White B=Black H=Hispanic A=Asian

+ Total staff included certified, non-certified and custodial staff.

* SES was usually defined by income rather style of living.

** All the schools had some form of special education services.

*** About 15% of the school population lived in public housing or were children of domestics.

****Data reflects a combination of two schools.

Regarding the hiring of staff, all the principals were involved in the process with their superintendents accepting their choices if there were no overriding reasons not to do so. Racial make-up of staff did not necessarily follow the racial make-up of the student body so that minority teachers were in the minority. Of the four districts involved, none had a mandate in terms of racial quotas for staff.

All of the principals belonged to various professional groups that were related to their degrees, interests or current positions. While some were involved in community activities, there were not overwhelming mandates from their districts to become involved. Involvement was of personal choice or natural opportunity as when a suburb became involved in substance abuse prevention.

Introduction to Findings

Approximately 150 pages of verbatim dialog became the data for this study. What could not be put down in writing were the various emotions that were expressed in the body language, the tone of voice or the sparkle in the eyes as these principals described their programs or the sound of sadness as some described their disappointments. The principals were provided with a copy of the open-ended questions that would guide the interviews prior to the interview sessions. Some had obviously thought a great deal about their responses, referring to notes they had made. Others talked extemporaneously moving with the flow of the interview. Some of the principals seemed extremely comfortable in expounding their views; others seemed more ill-at-ease. In spite of their levels of ease at being interviewed, every one of them had to be considered more than politely open. They freely spoke of their personal failures, more often than not, taking the responsibility for them. Another researcher hearing of their openness suggested that this may have been the first time anyone had sat down with them for more than an hour asking their opinions.

The pre-designed questions were meant to provide a basic structure and as the interviews proceeded, related questions were asked, without deviating from the main

points, to clarify, to expand a thought or to gain more information. Many of the responses given could have easily led to further in-depth discussion of the topic or subsequent interviews. In analyzing the data, the analysis looked at the five areas of concern on an individual basis. In reality, for at least this group of principals, when taken as a whole, the areas of interview interacted and overlapped. For example, in discussing their visions and the actualizations of their visions, styles, roles and philosophies of schooling often became apparent.

Names are used but are fictitious. It was felt to be important to give these principals some identity other than a site number. The quotations are added to give a truer, richer flavor to the analysis. The quotations are essentially verbatim with only changes from the original in grammar and where additional wording helped to clarify the quote for those who were not present during the interviews.

The style of presenting the findings is in keeping with qualitative studies where personal interviews and observations make up the data. Rather than having results expressed in percentages, *t*-scores or *F*-ratios, they are presented in verbal themes. Since the five areas of concern were assessed separately in the study, the results are also

presented one area at a time. However, this in no way suggests that a person's beliefs and values can be purposely disjointed one from another.

Vision

The open-ended questions for vision were:

1. As the principal, what are some major goals you have had for your school?
2. Using one of these goals, could you describe how you actualized the goal?
3. What factors positively/negatively affected the actualization of your goal?
4. What impact has your goal had on your school?

Mary Allen

Mary Allen's vision saw her as "an advocate for the underdog" - for the students that were having the most problems. The impetus for this seemed to stem from her days as a special education teacher. Given this, she has felt that "teachers ought to be nurturing, caring persons." She wanted her teachers to care about students on a personal basis. She stated it very clearly: "That's one thing I have always envisioned - that teachers want to do that nurturing as well as the teaching part and to incorporate the two." However, Mary did not feel that her vision of teachers taking the time to talk with kids - "the counseling bit" - had reached the level she would have liked. The rebuttal

she received from staff was "I don't have the time" feeling the pressure to get through the books and teaching the academic skills. She was not sure whether the rebuttals from the teachers could be labeled resistance or that they just did not understand what she was trying to accomplish.

Her role in this was seen by her as helping the teachers understand what they are trying to do with their students. Actualization of the goal was through a school-wide program where she and teachers sat down and talked about the identified students. She said, "Talking and having consultation with my teachers has always been a big thing with me and a joint responsibility: What can we do?" She saw that securing needed resources was a component of her responsibility.

When asked how she got teachers to go along with her, she responded that she felt that because she had worked in the district as an itinerant teacher, the acceptance was there. She did note however, that as she switched roles, there were some changes in the how staff related to her: being left out of gossip, being "afraid" when she came in their classrooms. But, crucial to her acceptance has been, from her perspective, that the teachers "feel that I am a teacher advocate. They understand that I don't ask any more of them than I think is really crucial for kids." To

further help her accomplish her goal, she often modeled the behaviors she wanted from her teachers when she worked with the students herself.

Did she have some problems in effecting changes in teachers' attitudes and the ways they worked with students? She admitted she did and took the responsibility upon herself - "I guess I didn't know how to get them to do more." She was, however, not defeated because she felt some things had been accomplished, even though not as much or in the way she wanted. When asked if she would try again, she replied, "Oh sure. I'd just formulate a different plan of going about it."

Henry Davis

Henry Davis' vision had to do with not only helping kids to achieve academically but also to grow socially, to be able to deal with their successes or failures and to function in the community. He elaborated on two programs he and his assistant principal started. The first was where the most difficult students - "the ones with low self-esteem" - were put in leadership positions with the other kids. For example, when staff wanted to talk to the students about opportunities at the vocational school, they

took the most difficult students over to the school and let them ask the questions. They then came back and explained the program to the gifted students.

A second program was a planned, consistent rewarding of students for various things they did successfully. This program was seen as a three year project with the first being essentially planning, the second trying to implement some of the activities and the third deciding teacher roles and administrative roles in the project. An inherent part of the program was also recognition of teachers.

Where did the impetus come from? Henry responded, "...it was just my assistant and me. We sat down one day...and said, we have to do something - we are being overwhelmed....Let's think of ideas."

What were some of the hindrances? Not really a direct hindrance but a dampening effect was the district office's attitude towards creative ideas. Henry said:

I don't think they [the district] took the opportunity to recognize neat ideas, new ideas and creative ideas....I think that money really ruled everything. I think that sometimes you go into debt to look at the long term - to look a couple of years down the road and ask what benefit this could be for the district.

Inherent in this criticism was his belief that in education one has to go "the reverse route" - that schools have to make sure students "are there to learn - cooperating,

listening to you, doing what the teachers expect. Henry wanted to be a visionary because "if you just sign forms everyday and just do your job, you are just reacting...."

How did he and his assistant get staff to believe in their program? "What we decided to do was to in the initial stages do much of it ourselves....If they saw us doing these kinds of things, maybe teachers would buy into it." A hindrance during the first year was that it was a contract negotiation year but the goal was that as time went on, teachers would take more ownership of the program. Henry defined success of the program when he said:

I think the success has to be not just administration doing it and it can't be just the teachers doing it. It has to be administration and teachers - administrators have to get involved - it has to be a team. We have different roles and responsibilities.

He seemed comfortable with the fact that not 100% of his teachers "bought in" initially or that all would at any time. His bottom line was that those less involved would have to "recognize that the program was going on in the building and it was a building level project." On the other hand, he felt that when teachers believed in something, the chances of success were greater because they affect the students more directly than the principal.

Even in its initial stages, Henry felt that there had been some impact on the students and teachers. Truancy went down, students had more of an ownership feeling towards the

school and individual students could be seen really getting involved in some of the programs the school offered. The rewarding of teachers seem to serve as a modeling experience for them because they were then seen being more reinforcing with the students. This concept of rewarding teachers and staff was a good idea - some of the details were a problem but he said, "Show me a good principal and I'll show you someone that is good at details."

The dialog flowed into general issues of staff. He did not subscribe to the theory that one should periodically get new staff. Rather he saw the principal's job as continually keeping staff at an enthused and rejuvenated level. "I always tell teachers that every year they should have one new idea to try and if they needed some funds, I'd try to get them some."

John Lewis

John Lewis' vision was to work with his staff to have a vision - "I don't believe in putting my own label on a vision because it probably won't materialize." John saw himself as goal oriented and extending this orientation to be a component of the school. He operated with many teacher committees, one of which was a goal committee which had just met and had reviewed previously established goals and established new ones for the upcoming year. During his

tenure a major vision had been to philosophically move the school's program concept from a junior high school perspective to a middle school concept. The impetus for this vision came during his first year - "When I took a look around, I noticed a lot of stress around the school, especially as it related to teachers relating to the community and part of the problem was that we running a "junior high school." The scheduling was done somewhat to meet certain curricular needs but the staff did not have any network of communication about the students in terms of how they were growing and learning on a day to day basis. This assessment led to a reorganization of the school in terms of children and teams of teachers during his second year. A positive variable in the change process was the assistant principal who had previously been a member of the staff. Flexibility was also important as John made time available for teachers to attend meetings and staffings during the day. The last two years have been spent in a major remodeling of the school. The design of the remodeling and addition further reinforces the middle school concept.

Although the school was functioning as middle school, John felt that they had not "reached a good level of giving high enough priority about really learning about the students as individuals." He attributed part of the problem to the sophistication of the student body given their

backgrounds. He felt that the teachers saw the outward appearances but forgot that "they were 12 year olds that have fantasies, adolescent dreams and adolescent fears." So in what will be his twelfth year as principal, John would like to implement an advisory period for students and teachers where they could discuss some of these issues.

John maintained a balance between pushing teachers as far as he could but also respecting a committee's decision that something could not be implemented - "I'll go that far to make them aware of that I feel their feelings are important." His respect went further in saying that he would allow them the time to decide where they wanted to go.

Bonnie Marks

Bonnie Marks' vision was grounded in her belief that "when each child comes to school, we have a responsibility to stretch them to their fullest potential regardless of what they come to us with." The goal of this vision was to help every child reach their fullest potential and so it was the job of the school to "equip these kids to go out and be self-sufficient contributing members of society so they can have self-respect and stand on their own two feet." This belief was brought to fruition in her reorganizing a bilingual program that she inherited in her school. She brought in resources, took courses herself, brought courses

to staff, brought in qualified new staff and realized that it would take several years before it was running smoothly. Within the bilingual program, Bonnie felt strongly that each student and his or her needs had to be looked at individually. She said, "some people talk about that we need to have a policy [about what happens in the bilingual program]. I think that we need a policy that says each kid should be considered on an individual basis."

In terms of other things she has tried she responded:

I have not had any problems doing anything that I've wanted to do. I like to think that most of my decisions are fairly well thought out and mature and good projects so he [the superintendent] has not stood in my way.

Staff has not been a hindrance - "they are a wonderful group of people." Bonnie believed in being flexible in allowing staff to go in two directions until they find the best method or strategy.

Bonnie had a second job in her district as the curriculum coordinator. She attributed any problems she has had in that position to "where we have had to impose something on other people because there are always some people who don't like to have anything imposed on them." However, after bringing resources and opportunities to staff, she has not been concerned about the ones that have

opposed her (usually the ones who did not take advantage of the resource options) feeling that she had a whole group that was behind her.

Bonnie was very sure that "to stand and direct people from on high was to lose some of your credibility." So if she needed to tell other principals or teachers to do something, she went through the same "crud" as they were going through. She also felt that there is a trickle down effect: as teachers see her getting her hands dirty with them, they are more likely to get their hands dirty with their students.

Bill Olds

Bill Olds was very proud that he and a committee of his teachers had just completed a mission statement for the school - "what we're all about in goals and visions." The mission statement came out of his vision to "capture concisely what we're trying to do." The mission statement was written by a small committee consisting of Bill, a kindergarten teacher, a 4th grade teacher, and a 5th grade teacher. It was then presented to the faculty for approval. He summarized the goals in terms of "character development" explaining that the school had been very academic and he had felt that more conscious attention needed to be put on areas beyond academics. The impetus came from a group of students

who were no longer in the school - "they really gave us a run for our money." And so Bill and the social worker put a lot more attention in that group. This work made him realize that all children need direction - "we can't just *assume* that good character is going to develop on its own." The goal for the 1989-90 school year is for the character development committee to begin to write a curriculum or at least a set of objectives for character development. As a start, the theme for the upcoming year will be "Build a Better Youth" with six major sub-topics planned for throughout the year.

Bill was creative in the way he advertised his goals. To communicate with parents, he used the weekly newsletter. Opening and closing ceremonies at the beginning and end of the school year were a district procedure but could be used in different ways. Last year's theme was "3 Cs" - cooperation, consideration and commitment - so when everyone came back on the first day of school, Bill had "3 Cs plopped around the building in 10-12 places." Everyone walked around saying "What's that?" For the upcoming year, he will include the character development committee in his planning.

As with other principals, Bill used a committee of staff structure to address some these issues and plan strategies. He saw his role as an "endorser":

If teachers and social workers are talking about taking time away from math and reading to talk about kindness and things like that without the endorsement of the principal, some people are not going to want to do it or feel free to do it.

The character development program was seen as one that would take several years to develop. An added plus about a committee structure for Bill was "the process of sitting around and brainstorming." And, he believed that if teachers liked the ideas, they would be more likely to go back and try them with their classes and also encourage other teachers to try them out.

Hindrances were seen as the staff being afraid to carry out the program because they thought they could not spare the time from the academic subjects or because they felt that they were not trained to do the non-academic activities. "There is a problem with their self-confidence - most people can really do fine." In Bill's case the community or students were not seen as potential hindrances. Sometimes time itself can be a hindrance with other things taking priority consideration which underscores the importance of a conscious intent to keep the vision alive.

The impact on the staff, Bill hoped, would be that they would be "more rounded in developing the total child." For the students, he hoped that discipline problems would be reduced and that the discipline procedures would take on more of a counseling feel. As an explanation of why schools

were talking more about discipline and character development, Bill felt that there were fewer alternative institutions in society and so these areas fell to the school. Whether this was good or bad, right or wrong was irrelevant to Bill. These areas needed attention and without their inclusion in the curriculum, teaching of academics would be harder.

George Miller

As a middle school principal, George Miller said that his vision "would be along the lines of creating an environment that provides for the growth of the students between the ages of 11-14 and all the changes they go through." While academics were important to him, socialization, dealing with feelings and peer relationships were also important. Activities in the school were geared to address those needs. He gave some examples. Given the varying developmental rates of physical development, in the seventh grade they do a unit entitled "Am I Normal?" A variety of activities are planned including having a pediatrician come in with slides - "some of them pretty graphic" - showing different stages of development at that age. In the sixth grade social relationships is a big issue so during that year "friendship groups" are run by the counselor to talk about these issues. Because of the high

achievement expectations on these students - "Princeton or die" - stress is an issue. The counselor and social worker will go into the cafeteria with little gimmicks to recruit students to be in a class that will meet 8-10 times to talk about stress.

George felt that he had the support of parents and the community in general for this type of focus. He had felt some resistance from staff initially but during the course of several years with some teacher changes and structural programmatic changes, the various activities have taken off and become part of the ethos of the school. Many of the activities now were staff suggestions. He used committees of teachers to plan and create strategies, he often sent groups of teachers to conferences and secured resources as they were needed.

George was a man who had lots of ideas but the program ran out of time in order to accomplish all of them. He complimented his staff by saying that they sometimes had more ideas than we could deal with - "it's liking working with a gifted class." His assessment of the impact on the students has been that they see these activities as a natural part of their school experience and they really do become involved in the projects.

Jane Edwards

Jane Edwards saw her vision in terms of her setting as a primary school and verbalized her vision in terms of literacy and having the students become more active learners. She said, "no matter what happens with computers and technology, you need to read and write. I want students to go out of here with the 3Rs - I'm real old fashioned." She defined active learners as being inquiring, thinking and problem solving. The impetus for her vision came from similar beliefs she held as a teacher. She had difficulty with the feeling that as an administrator that she was the "bad guy" or "other guy" rather than the "head teacher."

Jane felt strongly about letting people know what her philosophy was. She moved towards her vision of literacy by sending teachers articles, sending them to workshops and "going as a model [herself]." She also instituted special programs within the school such as "silent sustained reading" time. Over the last year the silent sustained reading time had increased from 10 to 15 minutes a week. The hardest component was to get the teachers themselves to read. As much as possible as a model, she has gone into classrooms herself and read during that time. She has also begun a silent sustained writing time during the week. Again, as a model, she put together a booklet for each student that they could use as a journal. She probably

won't do that again - "my first grade teacher thought I was pretty much out of my gourd." Rather than abandon her plan, Jane brought in a friend, who was a teacher, and had her work with the first grade teacher - teacher to teacher.

One hindrance on teachers has been that the district has been trying a number of different things so teachers begin to ask, "What are we suppose to do?" Jane has not felt resistance to her literacy program and will open the new school year with a goal setting session with her teachers and sharing some of the school's activities with the new teachers. As her teachers come to evaluate the program, she is willing to do some restructuring but is committed enough herself to keep the program component going even if she has to mandate it. She very clearly stated, "I am the instructional leader."

Her second vision of creating more active learners among the students had not flowered as well as Jane would have liked partially because she did not feel as secure in that area. Remembering that Jane was only in year two of the principalship, I told her about the feeling of other principals that it takes several years for a plan to get going and run smoothly. While she listened she thought there might be the additional hindrance of having new staff

from a closed school joining the current faculty. She said, "I want to see big changes so that gets real frustrating for me."

Edward Payne

Edward Payne has had a variety of goals during his long tenure including staff cohesiveness since when he first came to the school as principal everyone seemed to be doing their own thing, creating a discipline program and the one he seems the most proud of - the character building program. He was quick to mention that his school had won an award for their program which was sponsored by a local university. The goal of staff cohesiveness has been accomplished as has the development of a structured discipline program. A teacher committee heads the discipline program but Ed stays involved feeling that it is an important role of the principal. The plan has had an effect in the building and parents often complement him on its generalization to the homes. The character building program is a program where "the entire staff works together to help develop moral, social and good character in the students." The discipline program is considered to be a component of character building. Ed's long tenure in the district and in the building has allowed Ed to move through a series of visions. The latest one was attempting to raise academic scores.

Ed's school has developed and implemented an intensive phonics program with good pilot results. He was especially proud that the district was using the program in summer school based on the results at his school.

How did these goals come about? Ed responded:

Sitting back, thinking about the problems of the school and trying to do something about them. This was not something I had to do - it wasn't written anywhere. It was something I and the staff deciding with me that these were things we needed to do.

Edward knew many of the teachers in the building in his previous roles in the district. During his first year he worked with those teachers who were very positive with him. With those who were against him he took the stand that "Dr. X isn't here anymore. I'm here and this is the way we are going to it." He kept working with this group building up a trust - "As a principal you have to build up a trust with your staff and they know that I am someone that they can come to and someone they could trust, and it takes time and there are little things that come up that put breaks in the trust." He believed that it took several years, even for someone who knew the teachers, for things to get going the way he wanted and he was not willing to abandon goals if they did not occur immediately.

Mel Roberts

Mel Roberts was unique among the principals interviewed in that he had held many educational positions prior to this particular principalship including the superintendency in another district. He stated a number of goals he has had during his two years at the school: (1) unifying the community in support of the school, (2) increasing achievement levels, (3) developing curriculum not only for the school but also for the district, (4) solidifying staff, (5) building some school spirit with the idea of making the students happy to be there, (6) encouraging staff to pursue advanced degrees and opportunities which was a mission left over from his days as a superintendent. Roberts was very active in the school endeavors, not leaving a lot to the teachers although he promoted teacher involvement.

Similar to the other principals interviewed, Mel was concerned about having an assertive discipline program and activities to promote character development and used a committee to deal with these issues. Resistance from staff was not a major concern since he felt that he had a core group who were with him. He welcomed teacher ideas and when possible, would secure the funding or resources for them. In terms of accomplishing some of his goals, Mel felt that district spending patterns were often a "restraining force."

Bob Johns

The hallmark of Bob Johns' vision seemed to be a quality orientation for building staff, acquiring materials and designing programs so that students were successful. He purposely looked for staff that were well-qualified and well prepared. Even though academic grades are not always thought to reflect what a person is really like in the world of work, Bob specifically looked at candidates' grades as a measure of their potential ability having the belief that those with better grades did a better job. He took a stand with the superintendent about purchasing top quality items that would last rather than buying cheaper counterparts that did not last very long. And while he gave the example of buying better tape recorders, he in essence was saying:

All the little things you can do to sanction the importance of quality helps to spread the orientation from materials to staff to programs. It implies that the students are important enough to strive to work with them at the highest level.

In order to create a quality program he saw his job with staff as inspiring and supporting them and letting them get the accolades. Bob helped teachers write grant proposals and facilitated them getting the resources that they needed.

Another vision for Bob, although he talked it about in another area was getting staff to take a more realistic view of some of the things they were doing especially with the

diverse population of students. He realized that for some this kind of questioning could lead to conflicts with their own values but felt that the school's goal of helping the students to have the equipment to be successful was overriding other concerns.

Value Conflicts

The open-ended questions for value conflicts were:

1. As the principal, what value conflicts have you encountered in your school?
2. Using one of these conflicts, could you describe how you resolved the problem?
3. What factors positively/negatively affected the outcome?
4. What impact did the conflict and its resolution have on you and your work?

Mary Allen

Mary Allen's initial response to whether she had encountered any value conflicts was, "None that I can really pinpoint." In issues with parents regarding their child's classroom placement she has generally stood her ground and fortunately the placements have been successful. On the other hand, her message to future principals was:

I would say that if it is really going to create a problem, if it is something within my means that I can do, then I do not have any problem doing it. I think we will defeat our purpose altogether down the line, if I just always stood my ground. However, it is something I feel very important about, I don't mind standing firm.

Being a teacher advocate, she has not had major conflicts between what teachers think and what she thinks - "my ideas as a principal don't conflict with my ideas as a teacher so I seem to be able to blend the two together." Additionally, she felt that her teachers trusted her - "they know I wouldn't put pressure on them to do anything unless it was definitely needed." On the other hand, with teachers, her greatest problem has been "helping them keep straight their expectations of each other" - sharing with each other, being team members, reducing the bickering and back biting. Being that her building was an extremely small primary building, she felt that sometimes small was worse. She explained her way of dealing with some of these problems as: "When I had my staff meetings I would talk about those things. It seemed like I was always preaching and giving my sermon of the day about sharing and understanding - they [the staff] would call me a preacher."

Henry Davis

Henry Davis' response regarding having had any value conflicts began with "it may be sometimes where we place our values - some things that principals think are priorities, are not priorities to other people." He gave an example of a program where he wanted to publicly recognize teachers who did an excellent job - to him it was a "neat idea." His

plan was met with resistance by staff and there "is still sadness in [his] heart." Henry never envisioned when he proposed the plan to staff that he would be met with "hostility." While his objective was to encourage growth and creativity, the teachers perceived it as their being "bad teachers" if they did not get a pin. Henry was bothered by the fact that there were staff who really did an excellent job and they did not get the special recognition they deserved. While he would like everyone to be confident in their abilities, he realized through the discussion that everyone was not. Rather than go ahead, he felt it was better to evaluate the situation and he listened to what staff was saying, i.e., "What do they value versus what do I value?" He made a compromise with himself by finding a way to recognize everyone on staff for something.

John Lewis

John Lewis did not think he had encountered any major value conflicts during his tenure. He had found that values across his district were pretty consistent and jived with his own values about education, although there were differences in how to achieve stated goals. An example of a conflict that could have proved fatal for him was if the district had not supported the idea of the junior high building moving to a middle school concept and approving the

physical changes he needed in the building. Since the impetus for the remodeling came from him, its approval and funding implied for John that there was congruence between him and the district.

Bonnie Marks

Bonnie Marks was in the current situation of "with everything I have to do, I don't have time to do well anything that I'm doing and that is real frustrating for me." When the teacher survey comes back from the district office and says that the area that is satisfactory or less than satisfactory rather than outstanding is "communication between staff and principal" with a note from teachers saying "we know it is not your fault" Bonnie does not like it - "I like to have good communication so that is a lot of inner conflict for me." Yet her value of excellence also becomes conflictual in terms of getting help - she doesn't want just anybody, she wants someone to do the job at her level of expectation. At this point in time, the frustration had not defeated her. She dealt with her many tasks by prioritizing them realizing that her priorities were not necessarily the same as the district's. However, she had no difficulty in clearly stating her priorities to her superiors. Thus far, this system has worked for her.

Her level of excellence has been "catch 22" - the more she has does at a top quality level, the more she has been to do in different areas. Bonnie's frustration level was at "all I want is compensation and help and I'm beyond wanting compensation, I want help." Bonnie did state that if a curriculum job opened up and it was closer to her home, she might take it which seemed to speak to her desire to do one thing at a level she felt was more than just adequate.

Bill Olds

Bill Olds had a difficult time with this question. One recent example he could think of was related to the hiring of staff. The problem he was posed with was having to assign 15 people to 17 positions but in the end some of the unassigned positions were not necessarily good fits with the available people. He said, "I think there is a difference in the way the principal goes about assigning staff versus staff looking at some type of loyalty rather than qualifications." His actions were guided by the belief that one has "to make the strongest staff assignments possible utilizing the strengths of who they are."

He did talk with staff members about positions although he felt he had - as he should - the bigger picture in mind which he could not say to them. Although one of the 5th grade teachers was left without a position even though

there was a kindergarten opening, Bill had a dilemma. A year ago when he interviewed the 5th grade teacher she said of herself, "I am really upper elementary." Now she interviewed and said, "I can really do kindergarten." Bill felt this was not consistent and it was hard to tell her that she was being inconsistent. He did not place her in the kindergarten.

This year had been the toughest on Bill in terms of rearranging staff and he felt that he had to work more on sensitivity next year - being more aware of the staff's feelings in terms of what happens.

George Miller

George Miller felt that there are certain things that he was required to do that would not necessarily be his choice such as the state's new testing program. In a school where students consistently achieve at high levels, he resented the testing as a waste of time - time away from teaching - "but it is the law." Another problem for George was grades and the pressures they put on students but again this was an area he has had to live with. Not able to think of any major conflicts for himself, he agreed that if one came across something in conscience they could not do, they

would have to leave the position in order to maintain their integrity. It was also his hope that there would be ways to work around situations.

Jane Edwards

Jane Edwards began her dialog of value conflicts with the difference between her and the superintendent on the importance of achievement scores - "It's like a big deal and I kind of have to go through the ropes and that bothers me. I don't feel like, since I'm the new kid on the block, that I can challenge that a great deal at this point - maybe I'm gutless."

Another issue for her had to do with students who register in the school but live outside the district and use relative's addresses. Her husband has asked her if she wants to deny these students a good education. She responded "No" to him but given the money situation in the district and the superintendent's direction to ferret out these students, she has felt that she has had to face the issue and take a hard line.

The third conflict related to her vision regarding developing more active learners in her students, which she said "Goes back to where I'm unsure about myself," versus how much discipline to use in the school. For example, "When kids are talking together, are they helping each other

to learn or are they cheating?" She has leaned towards more discipline, unsure if she was doing the right thing but taking a lead from what the teachers wanted to do.

How defeating were her conflicts for her? The difference with the district on achievement testing was not serious. Resistance from teachers might be the area which would mostly prevent her from working on a conflict problem. On the other hand, she said that "I think part of it [resistance] might come from me. I wish I had more confidence and I also want to be the nice guy. I don't want to make enemies. I sort of back off hard topics and I don't like that about myself." She said her biggest need for growth was "getting myself good and strong to face some of these things and to learn that I don't have to be friendly with everybody."

Edward Payne

Edward Payne has not found himself in any basic conflicts. He said, "I've been here for a long time period so I'm pretty well indoctrinated to district policy and I don't see myself coming into conflict with it." In terms of future conflicts, he said, "I feel I could work it out." Although he has worked with four different superintendents, it has not necessarily been problematic - "You kind of have to feel your way with a new superintendent - you have to

know how far to go." The fact that the newest superintendent gives the principals a fair degree of autonomy has helped Ed avoid any potential conflicts.

Conflicts with teachers were not so much related to rules but problems dealing with students - discipline, curriculum, classroom management. Ed felt it was important for him and his staff to have similar value orientations about education and students. When interviewing for new staff, Ed listened very carefully to responses about how candidates will deal with situations and how they expressed their concern for students.

Mel Roberts

Mel Roberts saw conflicts in terms of disagreements he had with the superintendent regarding building and curricular needs. He has attempted to work with the superintendent and the Board in terms of making well documented presentations in order to make his point. He said of himself, "Given my background, I'm probably a little more current than a lot of people that would be in an elementary situation and think a bit differently." Coming from a superintendent to a principal has been a "humbling experience" for Mel so on some level he understands where

his current superintendent is coming from. But in his current position, Mel attempts to use what he knows in behalf of the district.

Personal conflicts at this time for Mel had to do with career - whether to stay in the principalship, move into the business world or to move into another area of education.

Bob Johns

Bob Johns did not feel he had been overly subjected to pressures that he disagreed with. An issue that came up this year was regarding student retention - "This year I have had to take a long, hard look at that and I looked at it individually as well as professionally." He continued, "Sometimes I think I have to set aside my personal beliefs. In other words, what I would tolerate as a father with my own children, I can't say that those things are going to work here for this school population." For example, if he had followed the grade point guidelines for graduation, one-third of the 8th grade class would have been retained. Bob became adamant - "We couldn't retain all those kids, it was not realistic because I firmly believe that a 20 year old kid does not graduate from high school - they drop out first."

How did his teachers go along with him? He felt that he didn't know if you could always get people to change their beliefs but firmly said, "At that point in time comes a wonderful think known as the power of the principal - you have to step in and be the autocrat." He was also firm in his belief that as an administrator, there were going to be days when his staff spoke ill of him and he was willing to take the criticism. For the most part, he believed that the staff's anger at him was momentary but also recognized that for those who could not tolerate his authority they might have to leave the school and he was willing to let them go.

For Bob, the students and the support of the community were paramount - "these are their schools - we drive in and out." Bob quoted a professor of his: "If it is a matter of principle, stand by your rockets; if it is a matter of option, go with the flow." When talking about a student's life, a 1.5 or 2.0 grade level for graduation was clearly an option for Bob which could have positive results rather than viewing it as a principle which could lead to a student dropping out. Another analogy he used was regarding individualizing. He felt that not only did it apply to instructional strategies but to educational decisions as well. Bonnie Marks would have wholeheartedly agreed.

Cognitive Style

The open-ended questions regarding style were:

1. Could you describe what you would consider the ideal style of the principal and what impact this style would have on the school as a whole?
2. If your situation matches the ideal, how did you achieve it?
3. If the situation is less than ideal, what has prevented the ideal from occurring?

Mary Allen

Mary Allen was ambivalent about an ideal style versus her own style. She said of herself, "I am a pushover. I think if I wanted to have an ideal style, I need to be more firm." She gave the example of when someone on staff demeans her publicly. She would not respond in the same manner but would deal with it privately. Her conflict was that others who see the incident might perceive her as weak so she asks herself if she should respond in-kind to other people. Her feeling, however, is that a hostile attitude on her part would lead to alienation of others. She has often told her staff that "you can get more with honey than with vinegar." Her attitude has been to not let staff "dampen [her] spirit;" that there was nothing they could do to make her act unprofessionally. Her assessment of this type of stance was that "I think that did more for me than anything

else. I think it helped them [the staff] to see that this was how you act as a professional: we can disagree on issues without becoming disagreeable."

Without stating it as her perception of an ideal style, Mary Allen poignantly expressed her conception of an ideal style, when she said:

I can't preach what I don't practice and that there is something beyond one's personal feelings that we have to go on - that professionals are beyond the hurt, beyond the criticism, beyond what anybody is saying. We have to know what we are doing; we have to keep going no matter who is criticizing us; we have to keep growing. You have to close your ears, you have to pick up your little self if we are going to help the kids. We can't wear our feelings on our shoulders because when you come in that door, you have a whole new set of responsibilities that you are handling.

When asked if the style described above was related to her being a principal, she responded: "No, that's the way I am. I am a helper and I get a kick out of helping people be effective at whatever they are doing." Mary felt that teachers would describe her as happy, caring, enthusiastic and that she does not "beat up on kids" although they would probably like her to be a stronger disciplinarian.

Henry Davis

Henry Davis did not think there was any one style. He said, "I think a principal in one district won't be the same as in another district but rather, each person comes with

their own strengths." He felt that he probably was a "conglomeration" of principals he had encountered during his work career - "I hope I took the best traits." He felt his teachers would describe him as someone who listened whether he followed or not and that he cared about students and teachers. He hoped that when he left the school he would leave a legacy about the students being primary and an organization to follow.

In terms of whether he thought he could have done things differently in the past years, he felt that he had done what he had to do at the time so that it was hard to look back. In terms of the future, he felt that he would like to spend more time with new teachers. Henry felt that a school reflects the principal and that principals should be stable and develop a staff that fits them. After ten years he was getting to the point where he had "my staff." They may have disagreed with with him yet they identified with what he was trying to do - "you get over the hump of strangeness."

John Lewis

John Lewis felt strongly about situational leadership "as long as one doesn't take it to the extreme and become too wishy-washy." He eloquently defined the ideal style as:

The leadership style would be one that adjusts to occasions but has some basic philosophy to it and has some basic values behind it. It is also one that solicits the cooperation and involvement of people that are being affected and impacted upon by the day-to-day operation and long-term goals of the operation.

Ironically, he clearly felt that his own style did not match his ideal. His feelings about himself stem from the high expectations that he sets so that he freely admits that he probably could never be satisfied that he has matched the ideal. He also held high expectations for staff and both modeled and stated these expectations. For example, as part of a program where all staff had homerooms either alone or in pairs, he paired himself up with someone.

John felt that his teachers would describe him as working a lot; being well organized; having high expectations; having a strong educational and middle school philosophies; and that he came to school with a strong mission. Others, he felt, might say that he can be too challenging, too comprehensive when they only have a small question or that he can be "hard-nosed" at times. His response to being seen as "hard-nosed" was that "certain philosophical things are most important to me." In critiquing himself, he said "and maybe because I do work a lot, I don't spend as much time on relationships. It is just one of my negatives."

John believed in being high visible to the children. He gets a little disappointed that students do not come to him very often as they have in other schools, but realizes that in this school they have many adults to respond to their needs.

Bonnie Marks

Bonnie Marks felt that her style matched what she considered an ideal:

Being very reachable; not putting yourself on a plane above others; working with them rather than telling them how to do whatever they are doing. For herself, Bonnie has developed the style from her "need to teach people when I'm am working with them.

She felt it was important not only for staff to know what they are doing but to understand it as well. She believed that understanding while doing helped people feel better about themselves. Acting as a model and getting her "hands dirty" was one way of getting more out of people because they see you as someone who is willing to give of yourself as well as give directions. When it came to delegating, she was very careful to delegate to those whom she could trust to do a good job; otherwise, she'd do it herself.

Bonnie felt that her teachers would say she was supportive with parents, that she able to obtain resources, that she sets high expectations for staff, and often tells them how good they are. She felt that others might say she is not fair enough.

Bill Olds

Bill Olds easily felt the ideal style was for the principal to be an "enabler" - to give responsibility and to "have things come up from the grass roots." He felt that the impact of this style on the school and staff was "a higher degree of ownership." Bill did not feel that it diluted the principal's role except for the principal's dictatorial role "but that was okay."

Paradoxically, he did not feel he had achieved that style due to his own personal need for control. Although he felt that through the years he had made progress in reducing his need for control, he felt "it would be a struggle - letting go - and that obviously was in direct conflict with staff being owners." A variable in him letting go of the control was in situations where he felt individual staff members would do a competent job. He gave the example of where one of his staff members is working on her Master's degree and needed to do an individual project. Although they are going to work together, he said that he would need

"to let go and not be too controlling." He felt that with this particular teacher, he could be honest about his concerns and say "this is one where I need to do this but if I am getting out of hand, let me know." Bill did not feel that he could go to the whole staff with this type of approach.

George Miller

George Miller felt his staff would describe him as knowing the kids personally, supportive of what they were trying to do and that he was organized. He felt that the ideal style of the principal included be willing to select the most qualified staff at the expense of being criticized by current staff and being willing to let staff go. Then depending on individual teacher needs, additional components of a style might include being an enabler, or an endorser, or being supportive.

Visibility was part of his style - getting into classrooms and teaching classes as much as he could. Among the reasons for teaching a class were that he liked to have staff see him in a teaching role and "I feel that I was and I am a good teacher and that it is fun too."

Jane Edwards

Jane Edwards' ideal style included behaviors that fell under the title "head teacher." The impact of such a style was to make everyone feel that "we are all in this together; we are all going to the same place." As when she described her visions, she used herself as a model, she made presentations to staff, she provided resources.

Edward Payne

Edward Payne felt that an ideal style was where "you would have to have students at heart first of all." His teachers would say about him that he is fair and honest with them. A mutual trust level was very important to him. He also hoped that his staff would say he was a leader and that he was willing to try things. He has an open door policy and does not feel threatened by staff ideas or strong opinions - "You know, when it comes from a teacher, it is a lot easier to implement." He could be flexible with expectations of staff - "If I can be lenient with them, I will. But if I can't, I can't. They know if I need something, I have to have it." He wanted staff to see him as there to help and liked it when a teacher popped in and said "I have a little problem with this, can you help me?"

Mel Roberts

One got the feeling, although he did not say it, that his description of his personal style was what he would have described as the ideal style. His personal style was to be very active and visible. He described himself as "exploratory and initiating" but also feeling that accountability is necessary. He feared that if one had a laissez faire type of approach people would end up doing just their own thing and if that then went too far, there would be "cognitive dissonance" and that staff would want order restored. Mel had some basic parameters that he felt he communicated to staff: "I'll tell you one time; I'll tell you twice; but if I tell you a third time, I'm going to make sure you are not here." He felt that the impact of his style was that his staff knew that he would be there and that he cared.

Mel thought that his staff would describe him as having a high energy level and outgoing. He also placed a great deal of importance in how staff looked which stemmed from his being a former marine and having spent time in the political arena. The philosophical base for his stance was that staff were to be role models for the students and wanting the students to see people they could look up to and emulate.

Bob Johns

Bob Johns tied the ideal style back to vision:

I think that the ideal style is to keep your eyes and ears and mind open but also knowing that every now and then you have to make some tough decisions. You have to make decisions in behalf of kids. And again, it goes back to vision for the entire school but you look at the vision for an entire kid and that vision is not here in school but for a quality of life when that child is an adult because that is what it is all about.

While quality was an issue for Bob and he thought there needed to be some strict goals and some strict standards, he felt that "they all need to be tempered with a little bit of compassion."

Role

The open-ended questions for role were:

1. When you decided to become a principal, what factor(s) were significant for you in deciding to make the career change?
2. As the principal, describe your typical day.
3. As the principal, what would constitute a really good day?

Mary Allen

The impetus for Mary Allen becoming a principal was the thought that she could really bring about some changes and she wanted the experience. She said, "the fact that I love people and could interact, I just thought it was a marvelous opportunity to do some great things."

In addition to her role as a principal, she also headed the PPS team in the district so she was on call for staffings in the middle of the day. Some of her team meetings have lasted from 2:00 in the afternoon to 9:00 in the evening. Her day is not typical because she is not always in the building all day - a fact that she found "sad" and prevented her from doing all the things she wanted to do. However, even if she was at a staffing at the district office, she left word to call her in emergencies because her building was her "top priority."

When she was in the building, she could be seen walking around, visiting classrooms, interacting with children - "down on my knees counting with them." She shared her office with the LD and speech teachers so even when she was doing paperwork she might be interacting with them or the children they are working with. Her typical hours were 7:00 a.m. to 4 or 5 p.m. preferring not to take work home. A good day for her was when she was not called out of the building to go to a staffing. If she was lucky enough not to have to leave, she often spent the extra time working with students and calling parents.

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Henry Davis

Henry Davis thought being a principal "was one of the greatest jobs in the world if done right - a great opportunity in the right situation." On the other hand, he felt it was a job that "could kill a person too, since [one] has to sometimes feel like they are in the complaint department." Given the negative possibilities, he felt that one had to see the job in the right kind of perspective. For Henry the chance to be creative and do some innovative types of things outweighed the negatives.

Henry began his days early to get an idea of what he would be facing. However, he said that "being a principal you never end up the day the same way you started it." He could not describe a typical day and in fact took delight in that days were not typically the same which was something he looked forward to. A really good day for him was seeing students enjoying school and not necessarily racing to leave school at the last bell. He held the same measure for teachers - "walking out real positive; looking forward to the next day." His moments of feeling defeated generally quickly passed and he always came back the next day feeling needed.

John Lewis

For John Lewis moving into the administrative realm first as an assistant principal was because he "thought [he] could do a much better job satisfying the needs of teachers so they could continue with their mission."

John outlined his day as most days starting out with various committee meetings going on which he may or may not have attended; observations of classroom teachers; scheduling meetings with teachers to discuss curriculum or student problems; calling parents back; possibly attending some of the many after school activities. He used the very end of the day to write program proposals, schedule, plan for the future. His assistant principal dealt with discipline problems. Because he has had four assistants during the last ten years, he has had to stay involved in many activities that he might have otherwise been able to delegate to the assistant.

John went into classrooms but unlike some of the other principals who freely went in and out, he did it more by plan, staying a full period. He did not feel that he had the time to just drop in.

A really good day for John was when one of his committees recommended an action be taken or a program implemented; having teachers come to him reporting successful experiences with students; seeing both students

and teachers act happily in the building; feeling that he had the time to accomplish some of the things he wanted to do.

Bonnie Marks

Bonnie Marks loved teaching when she started. She has had a variety of teaching positions in the district and has also been active with the teachers' association. Her impetus for becoming a principal was stated as, "I remember many instances of coming home from work, throwing my stuff down and saying to my husband that I'll have to go into administration because there has to be a better way to run a school than those principals are doing." Being an active member of the teachers' negotiating team gave her an opportunity to see principals in action. She felt that the administrators she watched "did not have the guts to go into the central office and be advocates for the schools and students."

Bonnie's day started out talking to teachers. She spent time in the staff workroom being available, talking about what happened the night before or what they needed for their kids. She may work with students on special projects. There were lots of telephone calls and she used her secretary to get a lot of things done. She tried to see students when they were at recess. When necessary she dealt

with discipline problems. She has had to schedule staffings and follow up with the social worker. After lunch she would deal with the mail or paperwork projects. Last year she was chairperson of fifteen different committees in her district which involved after school meetings. Most afternoons she was not in her building due to her committee assignments or her position as district curriculum coordinator.

At the beginning of the year she went into classrooms a lot and then tried to visit each one once a quarter. She wanted the students in the building to know who she is so one of the strategies she used was to be present for at least the beginning of assembly programs.

Bonnie could not think of any way to rearrange her day without having another person.

Bill Olds

In placing himself on the administrative track by becoming an assistant principal, he felt he had some of the skills to do the job. These particular skills he defined as "administrivia" knowing he would have to work harder on the relationship type of skills. He also felt that one would rarely go from being a teacher to an administrator if one didn't think they would be successful or if one did not think they had been successful in their teaching role.

When asked what his typical day was like, he quoted someone else's description but did not recall the source: "A typical day consists of a wide variety of brief interactions, frequent interruptions and taxing cognitive and emotional demands."

Most mornings before the students arrive were spent in meetings which he led and often ran until the bell rang. He attempted to walk around the school twice a day often peeking into classrooms. One activity he had instituted he was very proud of. In order to get to know the students better, he give out birthday cards once a week to students with birthdays that week. During the up-coming year he planned to personally recognize staff birthdays with personal notes. He was also proud that last year he had read to all the classrooms and had taught some fifth grade math classes.

Really good days for him were ones where he saw students or teachers being successful. This stemmed from his philosophy that the principal, office staff and custodians were in the school to support what went on in the classrooms. He said, "No school ever gets an award because they have a good office."

George Miller

George Miller did not have a master plan to become a principal. His doctorate in curriculum led him into district curriculum work. While in that position he filled two principal leaves and then as he said, "more or less found himself a principal" when he was offered his own building. Having worked at other grade levels, he has found that he preferred his position in a middle school.

He felt that having a typical day was unpredictable. If he could plan an ideal day he might start out the day with some meeting or visiting the band rehearsal. He would plan classroom visits. He would read material that came from the district. He tried to make contact with every teacher, every day even if it was just to say "Good morning." He saved the "dumb work" for late in the day when he was too tired to do anything creative.

George had an assistant principal who was new at the time of the interview. His previous assistant had been there five years longer than George. They divided up teacher evaluations with him doing the non-tenured teachers and tenured teachers who were having difficulty. While discipline was within the assistant's role, George stayed at least peripherally involved in case the assistant was not around. The assistant was in charge of athletics and "a million little details that have to do with keeping the

building going." The assistant was primarily in charge of the buses but George went outside if there was a major problem or in the afternoon to talk to the students. George gave his assistant a great deal of autonomy because if "[he] had to be involved in every decision, [he] might as well do it [himself]."

A really good day for George might be when he could make out a schedule and keep it. He'd like to maintain his professional growth and get more involved in various curriculum projects.

Jane Edwards

Jane Edwards moved into the administrative track "hoping that if [she] had some additional authority, [she] would be a stronger person."

A typical day for Jane was to get around to classrooms being and in the lunchroom or on the playground. She always has forms to fill out or mail to deal with. She thought she ought to meet with her teachers more often. They currently meet as a faculty once a month with smaller meetings in-between. She would like to do more personal and school goal setting with her teachers and have a little more sharing about what works well. A really good day for her would be to go into classrooms and see "nice things happening." She would like to be able to say to teachers

"Wow, I really like that." She said that she had been a subject in another study where she wore a beeper that beeped periodically and she would have to write down what she was doing at the time. Jane said she was embarrassed because she felt like she was always "caught" opening a piece of mail or answering the telephone.

Edward Payne

After having a variety of positions in the district, Edward Payne felt the principalship "would be [his] opportunity to show what [he] could really do - not the ego part but what [he] could do with 'staff for kids."

He described his typical day as very busy - "no day is like yesterday and tomorrow will be very different than today." He started the day by helping to supervise the buses and then he went back to his office to deal with minor issues. He spent a lot of his time being visible - he walked the halls, went into classrooms, stopped in the media center and talked to the students. He could be seen monitoring the halls sending students off to their classes. Even with the large size of his building he does not have an assistant principal to delegate to like George Miller does. Edward did all of the teacher evaluations and used a clinical supervision model which involved several components for each teacher. He spent time in the lunchroom so the

students saw him and knew who he was. Team meetings and staffings were attended by him. At the end of the day he went out to the buses again. He did paperwork and often stayed at school until 5:00 p.m. Living ten minutes from the school, during busy times he would sometimes go home, have dinner and go back to the school to do some work.

One criterion of a good day for Edward was when there were not a lot of telephone calls. His was a situation where there were 500 primary level students and parents calling for many things. A good day would be where he could get to a lot of classrooms and supervise because that is what he preferred to do. Delegating jobs to others was sometimes more difficult because he could often complete the job much faster himself. Edward felt that even if he were the principal of another grade level building, he would continue to do "the principal-manager" activities because of the value he placed in them. The difference would be in how he treated the students because they were older.

Mel Roberts

Mel Roberts probably provided the most comprehensive view of his day:

I put in extremely long days and I am highly visible within the building. I make sure that I am here at 7:00 a.m. What I do is check the building on a regular basis - I do an external check of the building to see if there is any graffiti or broken windows before I come in. I see who is on the playground. I talk to the custodians;

I visit the cafeteria, talk and joke with the ladies and find out what they are going to be serving, answering any questions. With working parents here, if I have any suspensions or exclusions I meet with them at 7:00 a.m. for readmitting the child so they can catch the train and get downtown. I open the safe and we get the the working cash for the cafeteria. I walk the building both internally and externally. I notice what kids are on the playground and why they are here so early. When I first came here I memorized every kid's name before school started and every staff person so I would be able to communicate with them.

What I'll also do is check the cars that are parked out there and share those with the police department from the standpoint of seeing if they are all local residents. In the teacher parking area, I make sure they are not going to get any tickets. I check the lounge and then by about 8:00 a.m. I return to the office. I have an aide who comes in about 7:30 so she can answer the telephones but if it is something pressing, I come to the office.

At 8:00 a.m. I go out and kids will be on the playground and I make it a point to talk to the kids and walk among them. Then I check the bus pick-ups that go to the other building. 8:20 the bell rings. I stay out there with two aides who come out at 8:10 - they have different stations. The kids line up and I make sure there are no bookbags or anything that left outside. After the kids come in the building, we secure the building from the standpoint of the external doors so that no one can come in after that shooting in Winnetka.

Then I come in the office. I walk the building once again. I check the washrooms to make sure they are all operable - some of our afternoon people may forget to put in towels. I check with the aides at their stations that are admitting kids that are tardy and if parents have come in, they will page me on the P.A. system so I can meet with them.

I'll have a cup of coffee at that point and start working on any misconducts from the day before. I'll go around and pull them out of class or if they are waiting for me, deal with them in the office. I'll take care of teacher related items or attend a staffing.

That is how it generally goes up until 11:00 a.m. The lunch program starts serving at that time and I'll go in there and check it out. I have four playground supervisors that are in there. If it is raining, we make a decision to stay in or go out - we try to have kids go out as much as possible because it energizes them to have their bloodstreams cleared out of carbon dioxide. The sixth graders are allowed to go out in spite of weather and can be seen playing soccer when there is three feet of snow so the gym teacher is outside the last period of lunch which is when the sixth graders eat. Often I am in the lunchroom the entire lunch period - 11:00 to 12:30.

The afternoon consists of taking care of various pieces of business or emergencies that arise. And then some afternoons I'll take the after school detention period from 3:00 to 4:00.

Mel said that he thrived on interactions so that a good day for him would be one "that ran relatively well from the standpoint of making the system or multiple systems operate and using some type of evaluation to see if people are operating well and are happy in their jobs."

Bob Johns

When asked what made him decide to become a principal, Bob Johns emphatically stated "I could do a better job than the ones I had." This belief was not borne out of a desire for authority. On the contrary, he said "I had a principal who was probably more of an autocrat than I could ever dream of being and I knew I could do a better job than he did."

His typical day was spent moving throughout the building. He was proud that he knew the students. Even though he hated being in the lunchroom, he was there everyday. Part of his dislike was that it was not as well run as he would like which stemmed back to his vision of quality - "I think it could be a nicer place than it is." He went into classrooms knowing that some teachers minded him coming in. He kept a gumball machine in his office so that if students came in to show him a good paper, he invited them back after school to get a gumball.

Bob measured a good day as being when no student was in the office with a discipline problem which he interpreted as everyone - students and teachers - having a good day.

Philosophy of Schooling

The open-ended question regarding their philosophy of schooling was: What outcomes would constitute a "good education" for your students? Since this was the last area covered, the principals were each asked if they had any final comments.

Mary Allen

Mary Allen summarized her philosophy of schooling as school being a place where students should become motivated to learn. The outcomes would of course include basic skills

but more than that - schools should peak the students' interest and excitement about school. The character development aspect for her was a critical component. She said, "I don't see how you can teach without it [character development]. I don't know how you can separate a kid and say I'm going to teach him arithmetic. I think we should be teaching whole human beings."

In her final comments she said that each year she has analyzed what she's done and what's she wanted to do the following year. By looking at each year she has been able to assess that she has accomplished a few things that have been her visions and philosophy of what school should be. On a personal level she said she would do it all over again. She has personally grown learning more about herself and what she gets excited about. She has felt successful in being able to put her personal feelings and problems aside when she has been involved with the students. Further growth for her would be learning to be more of a change agent in getting staff to like each other and cooperate with each other more. On a professional level she has learned a lot about people and has learned that good teaching is a total concept, not just executing a lesson.

Henry Davis

Measurement of outcomes for Henry Davis involved a long term perspective: how the students were doing in Junior High or if they have gotten jobs or gone to college or looking even further down the road and seeing them with their own families. He said, "You want to hear what's happened and it is a reward to hear that they are doing well. It makes you feel good and it makes you forget about the things that make you feel miserable - it puts the negatives in perspective."

In his final comments Henry felt it had been interesting to consider these questions and thought perhaps that all principals should consider these issues.

John Lewis

John Lewis listed a variety of outcomes:

- a feeling of self-confidence and self-worth
- a good sense of organization
- a habit of setting goals
- development of positive relationships with peers and adults
- acquiring problem solving skills
- acquiring an understanding of others individually and in groups
- acquiring academic skills.

Echoing Henry Davis' final comments, John felt it was good for principals to be reflective once in a while on a planned basis about specific issues. Most of the time, he felt, the only chance one gets to be reflective was in the car going home.

Bonnie Marks

Bonnie Marks' outcomes also encompassed a "whole child" perspective. She believed that schools should be concerned not only with imparting basic skills in and for themselves but also as tools for learning in general. Interest in many areas should be encouraged. She wanted students to develop "an insatiable curiosity which is an interest in a thousand things."

In her final comments she reiterated her expectations of quality when she said, "I enjoy being busy, I enjoy the challenges and I enjoy the diversity. I just don't enjoy not doing a good job; that's what frustrates me."

Bill Olds

Bill Olds felt that his philosophy regarding outcomes was summarized by his school's mission statement: "That the student could be a responsible and productive citizen of society." Students, for Bill, should be well-rounded having acquired some knowledge, having acquired problem solving and critical thinking skills. Working up to a reasonable potential for students would include academic, intellectual, physical, social, and emotional growth.

In his final comments Bill said that even with hindsight he would become a principal again. Often in the Spring he has to develop goals for the next year to present to his superintendent, he panics that he doesn't have any. But by beginning of the school year he has his list and then worries that he has too many goals.

George Miller

George Miller was concerned with students acquiring content material but was more concerned with the students' attitudes towards education. George was also concerned about the confidence level students developed about themselves and the school's balancing between encouraging the students to be whatever they wanted to be without setting unrealistic expectations.

In his final comments, George stressed the importance of liking the students and being patient with them and sensitive to their needs. In essence he was saying that not only do we need to talk about the "whole child" but teachers need to be "whole teachers."

Jane Edwards

Jane Edwards' philosophy of outcomes went back to her visions of literacy and creating active learners which corresponded to Bonnie Marks' philosophy of developing an "insatiable curiosity." Literacy and active participation in the process were seen by Jane as prerequisites to the students becoming successful in many areas beyond academics.

In her final comments Jane talked about her experience as a principal having had both positive and negative aspects. As she had done throughout the interview, she spoke of her disappointments in her own lack of strength and courage to do some of the things she felt were important. On the other hand, she was not ready to give up but rather to look for alternative solutions.

Edward Payne

Outcomes for Edward Payne were summarized as students learning to be good citizens in whatever environments they later found themselves, being able to make a living for

themselves and being happy with their own lives. Education was seen as relating to happiness but in reality he felt that these areas were meshed together.

In his final comments Edward stressed that he enjoyed what he did in spite of the busyness of his day. He felt successful when students greeted him in the school and in the neighborhood. Consistency was so important to him because he felt that consistency led to trust. It was not a problem for him that people might think that he was easy because he felt "I'm still very much in charge."

Mel Roberts

For Mel Roberts comfortableness in terms of self-worth and importance was an important outcome of education. He also felt that students should leave school with a sense of direction and not easily intimidated by individuals or institutions. Crucial was his belief that students must have "some type of control of their lives in the present before they can have things happen in the future." To achieve this, they not only need specific academic understandings but a general love of books. Also important to Mel was that students develop an advocacy for the less fortunate.

In his final comments he reiterated that he enjoyed his job. Given some of his previous activities and this being his 28th year in education, he was at a point in his life where he was considering what to do next. He ended by saying: "I feel that I've done some good things, I've traveled a lot, I've had a good personal life, and I feel relatively young." These might be similar words he hoped his students could utter at some point in their own lives.

Bob Johns

"Being successful" was the hallmark of Bob Johns' philosophy of outcomes. His biggest fear was that students would drop out before they finished high school and he felt that the high school diploma was a minimum door opener.

He gave the example of something he did for the first time. He sat down with a student who had attended a private school that advertised their success with students and then transferred to Bob's school in 6th grade. The student was bright and astute in terms of "street smarts" but only had a 4th grade reading level and was always on the fringe of trouble. Bob was angry at him because the student had gotten in trouble in the classroom because "he had nothing to do." Bob showed him his test scores and the student said, "These aren't mine - I'm smarter than that." Bob replied that according to the test he wasn't but that he

also thought he was smarter and needed to work a little harder. Bob was not sure he had done the right thing but felt he had to do something to try and help this student.

In his final comments he expressed his happiness and praised the community. He had the belief that people everywhere cared about their children. He felt that "if as educators we put our sights, we get ourselves on the same side as parents and realize that they truly are on the same side that we are, we can do a better job."

On-site Visits

The on-site visits were intended to see the principals in action during a regular school day in contrast to the one-to-one interview situation. It was stressed to the principals being visited that they were to continue with their normal routines. However, several of the principals were eager that the visitor come on a certain day to view a particular activity which either they thought would be of interest to the visitor as an example of the school or would be an example of the principal in action. A time frame of three hours in the morning was spent with each principal. Clearly during the course of the visit, each treated the visitor with deference and continued to explain their philosophy and their actions very much in a teaching role. Because the visits were during the first four-six weeks of school, much of what was observed seemed to be related to the start-up of school: new cafeteria, PTA activities, new student, student assembly, etc.

All five buildings, although representing two distinct communities and socioeconomic levels were similar in the orderliness and cleanliness of the buildings and in the level of discipline that was maintained in halls, even during passing periods. The building differences were best distinguished by the quality of their decor with one building having just having completed a several million

dollar addition and renovation project. In all five buildings, the principal's office was in back of the main school office with school secretaries and clerks managing routine school operations. In the two schools with assistant principals, they each had their own office. One was next to the principal's and the other was toward the front of the main office area. The principals were not continually bothered by a stream of telephone calls nor staff running in with trivial matters but yet there was an air of openness and availability. The five principals visited were male and each dressed in a professional manner with at least a shirt, tie and sportscoat, if not a suit.

The day started for each of them monitoring the arrival of students mostly by schoolbus but also by car and walking. Prior to the the first classes, teachers and students were seen in the offices and halls taking care of miscellaneous business. As the first bells rang, teachers could be seen greeting their students at the classroom doors. Both teachers and students appeared to have a purpose to where they were going and what they were doing. As staff encountered the principals, information was verbally passed quickly about bus problems, student problems and routine happenings. Routine discipline matters were reported to be handled by classroom teachers with serious matters going to the assistant principal or principal. The

principals, when asked about discipline, seemed proud that they had created systems where they would not be involved in minor matters. Since the visitor concluded the visits at 11:30, the principals visited the cafeterias, monitored lunch or broke for lunch themselves.

Site #1: South suburban K-2; Edward Payne, Principal

Hallmark of the visit: crisis intervention.

Ed Payne had been principal of this building for 10 years having spent thirty-five total years in education. Prior to his principalship he had held several roles in the district and knew many of the staff of this school. He was low key in spite of managing a building with five hundred students and having no assistant. The morning of the visit he saw to the arrival of buses and had to escort visitors from colleges to the classrooms they were to observe.

Early in the morning he was called to one of the special education rooms to assist with a new student to the school who was becoming out of control. He spoke with the student in an attempt to obtain his cooperation but was not successful. Edward's comment was that he had on other occasions been able to get the child to comply seeming to indicate that he had prior contacts with similar situations during the previous weeks. During the event the teacher was knocked down by the child and the principal very calmly and

quickly made the decision to suspend the child. He called the district office to advise them of his decision. Because the parents could not be found, he spoke with the child's grandmother about what had occurred and since there was no one to pick the child up, the principal made the decision to drive the child home with the assistance of the teacher and the visitor. The principal's response to the event was "This hasn't happened in a long time." However, the ease with which he made the decision and his actions seemed to suggest that this situation was an everyday occurrence. Upon returning to the school, he completed the necessary suspension paperwork which he passed on to the secretary for completion.

This primary building was attached to the middle grade school which had their own principal who was new this year. Bus unloading and pickup had been presenting a problem for which the two principals had to make recommendations to the district office for a solution. The newer principal called on Ed and deferred to his tenure and knowledge of the situation. When probed what it would be like if he and the newer principal did not get along, Ed's response was "It would be very difficult because the buildings are attached." As this visitor was leaving, children were lining up for lunch and Ed was seen speaking to the children in line and going into the cafeteria to check on the lunch program.

Observation of Ed's morning was a close parallel to his description of a typical day. The crisis that occurred substantiated his statement that "no day is like yesterday and tomorrow will be different than today." His visibility was seen during bus unloading, being in the halls as students passed to their classrooms and monitoring the cafeteria.

Ed's calmness, while maintaining his authority during the student crisis, exemplified his style of being supportive of teachers and also his involvement with students. After delivering the problem student home, there was an obvious sadness on Ed's face regarding the home situation as opposed to anger at his morning being disrupted. In fact, at no time during the incident did Ed seem flustered. He seemed as natural driving the student home as he might have been conducting a staff meeting.

Site 2: South suburban K-5; Mel Roberts, Principal

Hallmark(s) of the visit: student services and supervision of students.

Mel Roberts was a highly verbal, fast moving man who had been principal of the school for two years. His becoming a principal was described by him as "somewhat a step down" having been a superintendent previously. His manner was quick and direct and was reflective of the

political roles he had found himself in prior to the principalship. He also saw himself at a crossroad in his career with possible opportunities to leave education and go into private enterprise.

His manner within the school was a match to his quick personal style. The visitor arrived as he was about to go outside to the schoolyard where students were gathering to wait for the bell since the majority of his students walked to school. During his interview, he described his early morning activities of checking the building routinely for maintenance needs and security. We walked around the schoolyard checking the different entrances to make sure that except for the main entrance, they were all locked. Many of the children called him by name either as a greeting or to enlist his assistance. He greeted the children and also intervened with those that were misbehaving.

When setting up the visit day, he suggested that the visitor might like to come on a day the pupil personnel service team was meeting. During the meeting, he was quiet but served the role of getting student folders and seeing that the necessary teacher was present at the appropriate time.

One of his daily functions was to monitor the lunch program which runs for about an hour and a half. He stood in the middle of the lunchroom which was one of the gyms

where he was able to have a full view of the children entering, the lunch line and the two columns of tables. He moved back and forth intervening with students that were potential problems calling to clean-up people as the need arose. The children clearly again showed that they knew him as they called for his assistance by name.

During a tour of the school he walked into classrooms and chatted with teachers in the halls introducing the visitor. He seemed at ease with staff and they in turn seemed at ease with his stopping by. As we passed staff he made comments that indicated a concern about their lives as a whole. He had given examples during the interview of how he has encouraged people in different directions. During the course of the morning he made many references about building and equipment needs and the difficulty of obtaining the the necessary monies. Another principal in the district who was interviewed, but not visited, had also as part of his vision talked about working with the district in terms of buying quality equipment that would last as opposed to cheaper counterparts.

The visit with Mel was an exact match to his narrative on a typical day reflecting his style as he carried out his role. His movements through the playground in the morning and in the cafeteria at lunch were smooth and automatic rather than reactive as if stepping into unforeseen

difficulties. While spending an hour and a half in the cafeteria may seem to some to be a waste of an executive's time, and perhaps Mel would not choose to do so if given a choice, this behavior on Mel's part coincided with those who believe that principals do what they know has to be done given their particular situation.

Site #3: North suburban: 6-8; John Lewis, Principal

Hallmark of the visit: building maintenance.

John Lewis had been at this school for 11 years and just prior to the visit had announced that he would be resigning at the end of the school year to pursue other things. For the last several years he had been involved in a major building and renovation project in his school. The majority of the project had been completed at the time of the visit but there were still workmen in the building finishing projects and making adjustments. Several of the walks around the building during the visit were to check on construction and check on scheduling details with the workers.

The visit morning was a busy one at the school due to a student council assembly. While walking through the halls prior to first period, students were assembling and some were in the gymnasium preparing for the assembly. We encountered a student who was in tears. John without

hesitation went over to him to assess the problem and once assessed, took the student under his guidance to help him regain his composure. He intervened smoothly as if this was a part of his routine.

The visitor and John watched the assembly from the side with the assistant principal in charge. The principal commented that normally that was his role but given his announcement of resignation, he was turning more of those activities over to the assistant.

Admittedly, much of John's time had been consumed with the construction. But he also described himself as needing to take up the slack to make sure things were completed in the manner he wished. For example, he spent personal time setting up a new computer lab. John also seemed aware of his teachers as people evidenced by a stop in the art room and a discussion with the art teacher about her personal art career with John giving her some suggestions where she might sell her work.

The finishing of the renovation project which was needed to increase facilities and redistribute space in keeping with a middle school concept represented the attainment of one of John's visions.

Site 4: North suburban K-5; Bill Olds, Principal

Hallmark of the visit: community relations.

Bill Olds had held the position for 5 years. Previously he had been an assistant principal in the district. The school was a bright and cheerful building and that atmosphere was echoed by the office staff in their warmth and friendliness and by the teachers that were seen. The classrooms were decorated with colorful bulletin boards and student-made projects.

Bill had suggested that the visitor come on a day when he handed out birthday cards to students whose birthdays were that week. This was an activity he had started and was obviously proud of it. The morning of the visit he had a meeting with two PTA mothers to discuss school assemblies that the PTA was going to fund. The mothers brought in materials of various programs to choose from and discussed the pros and cons. Bill asked questions about the various proposed activities and then asked for the mothers' recommendations. Later, after they mothers had left, he listened to a tape they had given him from one of the potential performers.

During the course of the morning, we walked around the building while he took pictures of students working together as part of a presentation to the school board that was meeting that week. Bill and the visitor stopped in to see a

teacher who was going to present at the meeting to discuss her speech. While talking with her, another teacher stopped in and a separate matter was discussed.

His style in general during interactions appeared low-keyed. He listened to the speaker, asking questions and then came to a conclusion. In one instance while discussing a problem with a parent, he told the teacher he wanted her to maintain a working relationship with the parent and the child so he was willing to be "the bad guy." He was in the process of helping a teacher with an administrative practicum project in which she had to work with another teacher. She dropped in to talk about the project and he was amenable to her suggestions. Another short meeting that morning was between Bill, a social worker and a teacher. The social worker asked that the visitor step out for reasons of confidentiality and while Bill was apologetic to the visitor, he did not take issue with the request.

Site 5: North suburban 6-7-8; George Miller, Principal

Hallmark of the visit: student services.

George Miller had been principal at the school for 4 years. Prior to this assignment he had been an assistant principal in the district. The morning started with him holding the students in the foyer of the school until the first bell rang. A continuing issue the morning of the

visit was a problematic student on the bus whose parent was not supporting the school's discipline decision. In general it was the assistant principal's role to deal with the problem; however, both the principal and assistant spoke with the bus driver and the student. Additionally, the assistant kept the principal informed as the morning evolved. The final stage in the incident was the parent being unhappy with the assistant's decision and calling the principal. He spoke with the parent on the telephone with the assistant present. After the telephone call he supported the assistant's decision restating what the next procedure would be. The principal and assistant spoke with each other in a very professional manner which was highly characteristic of George's style.

At the beginning of first period a substitute had not arrived for the gym class and since the assistant was going to help some students he went down to the class to supervise saying on the way, "All the little plans made at 7:00 a.m. wait." While he was setting up equipment he was flooded by questions, most of which had nothing to do with gym. He took them in stride. When the equipment wasn't working and someone asked him, "Didn't you take electronics?" he did not become flustered.

A planned activity of the morning was to do an initial observation of a new teacher. As interested as he was in the teacher, one of his goals was clearly to learn the names of the students in the class being that this was the beginning of the school year. At 11:30 when the visitor was leaving, George made a brief stop in the cafeteria and then stated that he was going to eat his lunch as he had been up quite early in the morning.

CHAPTER IV

ANALYSIS OF FINDINGS

Ten principals were interviewed regarding their beliefs and values in five areas. No a priori assumptions were made concerning what would or should be found. Other than several of the principals being in the same district, the sample was completely a convenience one. Of the four school districts represented, two were more affluent North Shore suburbs and two were in southern suburban Cook County and were quite different than the two on the North Shore.

Five areas were queried with these principals: their visions, their value conflicts, their beliefs about ideal cognitive styles, their beliefs regarding the role of the principal, and their philosophies of schooling. The nature of their responses indicated that these were artificial categories. Their responses to questions about their visions and their philosophies were quite similar and their perceptions of role and style found the two quite intertwined. The area of value conflicts proved to be the least informative. Not one of the principals expressed conflicts that they felt were untenable and given the openness with which they spoke, their lack of responses did

not appear to be a function of being afraid to "tell on" themselves. One hypothesis for this is that given the number of years they had in education and their current positions, one might speculate that they had a good match between themselves and their districts or that they had come to terms with whatever conflicts they had previously. It is interesting to note that the principal with the least total years in the principalship - Jane Edwards - had the most doubts about herself in the position of principal. In addition to analysis of the interview material, the themes found from the dialogs were compared to theoretical frameworks found in the literature. Finding a correspondence between real data and literature further substantiated the validity of the themes.

In terms of the characteristics that NAESP, Wolcott, Vittengl, and Rossi found in their studies, this group of principals was similar in many respects. Among them were:

- They all held at least a Master's degree.
- All but one had longevity in their districts.
- They had a high level of morale and were satisfied in their career choice.
- They choose to become principals because they felt that they could do a better job and could have more effect on decisions.
- Their satisfactions came from seeing students and teachers being successful.

The diversity of this group of principals in personality and style with the interviewer was what one might have expected in putting together such a group. An added advantage to obtaining purer responses was that the interviewer was not previously known to any of the principals but rather was introduced through a third and in some cases, a fourth party. One of the striking findings, unrelated to the actual questions, was the forthright manner with which the principals responded to the questions which were being tape recorded. They spoke freely about themselves - including both positives and negatives, about their districts, about their superiors, about their staffs with seemingly no concern about trusting the interviewer or how they were presenting themselves. Their honesty was overwhelming. In addition, the manner in which they spoke gave no appearance of any of them quoting a "party line" of what they thought they should say or what they thought the interviewer wanted to hear. In their final comments, several of them stated that all principals should have to think about the issues presented to them.

Given the above, this group of principals had many similarities in their visions, beliefs regarding style and role, and their philosophies of schooling. Describing

themselves as enablers/resource providers/instructional leaders they fit into a humanistic perspective which views leadership as maximizing human potential.¹ How they arrived at their perspectives did not appear to be a function of formal training. Rather each had evolved into their positions because of personality, personally developed philosophies and experiences which included positive and negative role models. Their similarities in spite of their different backgrounds and training suggested that perhaps those who go into the principalship and remain there do so for similar reasons and have similar beliefs unbeknown to each other.

1. Cliff Eagleton and Roy Cogdell, "The Humanistic Leadership Model: A Pilot Investigation," Educational Research Quarterly 5 (Winter 1980-81): 51-70, p. 54.

Summary of Findings on Vision

There was no question that all of these principals had vision. Some were more grandiose than others but each appeared to fit the particular situation - John Lewis turning his Junior High into a middle school with a new building and Jane Edwards being concerned about literacy in her small primary school. The visions of these principals were borne out of problems and concerns they saw in their buildings. Their visions generally centered around creating programs to address student needs: discipline, difficulties in learning, transitioning developmental levels, emotional development, social development. This also included development of staff and building resources to support the programs in a quality manner. Henry Davis and Mel Roberts had visions that extended past the school which is in keeping with literature that has suggested that values do change depending on the position one is in. Henry Davis felt very strongly about the importance of teachers expanding their universe beyond their own school. He said, "They [the state] should set aside one day a year where teachers go out and share with other people, or go to a conference." He felt that this was also true for administrators. After this research was concluded, Henry Davis moved on to a district level position in another

district that suddenly became available and Mel Roberts, as stated earlier, had held other positions that were more broad based.

As these principals described how their visions evolved, they seemed to have exercised "moral imagination"² in which they made a value judgment that the present situation was not acceptable. Their assessments of their schools did not follow formal procedures but rather their intuitive sense of what they believed or in some cases was a survival strategy as Henry Davis suggested: "We [were] being overwhelmed. We [had] to do something." The actualization of their visions followed Sheive's and Schoenheit's model of (1) valuing, (2) reflecting, (3) articulating, (4) planning, and (5) action.³ All the principals expressed the notion that teachers were an important component to actualization. Henry Davis exemplified the concept of also having to be aware of and tolerant of the feelings of staff when he did not go ahead with his plan to reward teachers on a selective basis. They expressed their disappointments at not all of their visions being achieved but did not seem defeated by

2. William D. Greenfield.

3. Linda T. Sheive and Marian B. Schoenheit, "Vision and the Work of Educational Leaders," in Leadership: Examining the Elusive, eds., Linda T. Sheive and Marian B. Schoenheit, (1987 Yearbook of ASCD): 93-104.

their disappointments. They were able to look at the small steps accomplished and the look at possible alternative routes for trying again.

The process of implementing a vision followed a pattern regardless of the school setting. Unless dealing with the opening of a new school, a school culture exists prior to the arrival of a specific principal. The new principal then affects and is affected by the culture. Within this culture, the principal's philosophy creates tensions or dissatisfactions within themselves which lead to the creation of visions in order to remedy the situation. Once there was a sense of a need for change, this need was articulated. Administrative behavior toward actualization took place through his or her various roles and the style he or she brought to the roles. There is always the possibility of conflicts which can arise in terms of role, values or resistances by others within the culture. Administrative behavior impacts on staff and students. Since staff deal with groups of students directly, they become more directly the implementers of the vision. Staff resistance to carry out programs blocks the vision impact on the students. When blocking occurs, the principal can carry out the plan themselves as a model for staff or work with groups of staff that are supportive. Often when resistant staff see the program as successful, they begin to take an

active part in the implementation. All the principals felt that it took several years to accomplish implementation of their visions to a satisfactory level. This remained true even where principals had previously known the staff. A crucial element in the success appeared to be the confidence level of the principal.

While the programs and strategies differed from school to school, a number of similar value stances appeared. They can be summarized as follows:

- The principal is a model for teachers. (2)
- The positive behaviors of students and teachers are rewarded. (3)
- Action follows assessment. (1)
- Actions are proactive rather than reactive. (1)
- A long range perspective is important. (1)
- Success equals the cooperative efforts of administrators and staff. (2)
- Longevity of administration and staff is important. (3)
- The principal encourages creativity of staff. (2)
- Learning from others is desired. (3)
- The principal needs the ability to conceptualize and work out details. (1)
- A quality orientation is needed. (3)
- The principal enables teachers. (2)
- The principal has a goal orientation. (1)
- The principal endorses teacher activities. (2)
- The principal is the head teacher. (2)
- Trust is important between the principal and staff. (2)
- A cohesive staff is important. (3)
- The principal needs to be consistent with students, parents and staff. (3)
- The principal is a resource provider. (2)
- The principal is the instructional leader. (2)
- Goals for students include academics, character development, discipline, socialization, peer relationships. (4)

The above stances can be categorized into four areas: (1) behavior of the principal in relation to accomplishing their vision; (2) the relationship of the principal to staff; (3) characteristics of the school culture in relation to accomplishing the vision; and (4) the impact of the vision on students.

The principals saw themselves as needing to be action oriented, especially proactive; needing to see beyond just tomorrow; and conceptually and detail oriented. In terms of how the principals worked with staff there was overwhelming similarity in the orientations. In spite of resistances, staff on the whole was respected, creativity was encouraged and the principals saw themselves in the role of supporting staff as enablers/endorsers/resource providers/promoters. One had the feeling that they would have endorsed Roe and Drake's proposition that:

Organization and administration must then be considered as means and not ends. In developing this point of view, the teacher becomes the most important agent in carrying out the educational process. Therefore, a principal's most important function is to help establish, develop and maintain a teaching staff that will provide the best possible opportunities for teaching and learning. He/she then works with the teachers and students so that the teaching/learning climate is of the highest order.⁴

4. William H. Roe and Thelbert L. Drake, The Principalship (New York: Macmillan Publishing Company, Inc., 1980), vi.

None of the principals spoke of school culture directly but implied cultural characteristics when they spoke of longevity as important, an atmosphere of mutual respect, quality, trust, and cohesion. The overwhelming orientation towards the students was a "one-child" perspective. Raising academic scores was rarely mentioned and almost as after-thoughts. This perspective was couched in different terms: character development, the importance of discipline, socialization, concerns about peer relationships. Most surprisingly that this value remained stable even in those districts that would be labeled on a socioeconomic level as lower-middle and upper with sophisticated parents and children.

Summary of Findings on Value Conflicts

This group of principals did not express significant value conflicts. Some of the conflicts mentioned seemed to be more common ones - disagreements with superintendents on various issues such as achievement testing and district pressure for higher scores and differences in opinions and attitudes of staff regarding programs or student placement. Their conflicts would have fallen in the category of personal attitudes rather than demands - either their own or constraints or those imposed by others.

What appeared in unexpressed form were personality variables that affected how the principals dealt with conflictual situations. Two dimensions became apparent: (1) self-confident principals versus those with poor self-confidence and (2) a "going along" attitude versus an attitude of working around or working through problems. The self-confident principals exemplified by Bonnie Marks and Bob Johns were not afraid to take a stand even if it meant criticism by superiors or staff. They knew what they believed and stated it clearly. Poor self-confidence, exemplified by Jane Edwards, seemed to lead to personal frustration and loneliness. Jane Edwards clearly stated, "It's sort of lonely here in the office."

In general, the principals "went along" with the various districts' need for improving achievement scores. In other cases, principals such as Mel Roberts and Edward Payne attempted to work through issues so that conflicting forces could be co-opted. While in some cases the strong personalities of the principals came through in the interviews, this was not always the case. Edward Payne, for example, was less dynamic in personality but his words clearly indicated that he knew what he wanted and he was in charge of his building.

Interestingly, some more discussions of value conflicts came through when some of the principals discussed the ideal style of the principal and their problems in achieving it. For example, Mary Allen was conflicted about how to deal with those who put her down publicly. She was conflicted about whether to respond in-kind or be perceived as weak. However, to respond in-kind was not her style nor part of her philosophy of "helping people do their job...to get the job done for those kids." It was more important for her to be a professional role model than retaliate.

John Lewis' conflict was one that he had with himself. While he believed in situational leadership within a basic philosophy, his high expectations often led him to never being fully satisfied. Bill Olds had a similar dilemma. His need for control interfered with his belief of the principal as an enabler.

Summary of Findings On Style

Some of the characteristics that were stated by this group of principals were:

- having a professional stance
- having a concern for students as primary
- having a concern for staff
- use of personal strengths in the administrative role
- adjusting behavior to situations but within a basic philosophy
- having a value base
- being perceived as reachable
- having a concern for staff's feelings but not driven by their reactions or criticisms

- being a builder of trust
- having visions
- seeing oneself as a head teacher
- enabling, endorsing, supporting teachers.

A particular style did not emerge. However, a list of characterological traits became apparent, none of which seem to conflict with each other or would conflict with a particular style. Even for those who were able to evaluate their personal style as being less than ideal, they measured themselves against their conception of an ideal.

If one were to create a style from the characteristics that emerged, it would reflect three components: (1) the behavior of the administrator; (2) the administrator's philosophy towards the students; and (3) the administrator's relationship to staff.

The administrator would maintain a professional stance with their staff rather than reacting with personal feelings or attitudes although personal philosophy and values would be reflected in their stance. Daily actions might vary but would be within a framework that was guided by their visions. The administrator would be open to new information and ideas. Building of mutual trust would be seen as a prerequisite and on-going responsibility of the administrator to reaching established goals.

The administrator would maintain an attitude that the students were the primary concern of all goals and activities. Use of staff was seen as in service of providing a quality program for all students.

The administrator would maintain an attitude of openness so that staff would perceive them as reachable. How the administrator related to staff would depend on both the needs of the building in regard to the students and the level of professionalism and personal abilities and needs of individual staff members.

The principals in this study could easily have fit into Blumberg and Greenfield's⁵ list of styles. Clearly, however, one label did not totally explain each person's style. Mary Allen was very much a juggler of values. She believed in a professional stance for herself and staff which was then carried out in principal - teacher relationships, teacher - student relationships and teacher - teacher relationships. She struggled with the fact that her teachers did not always engage in this stance. She never used the word "frustration" but it could be heard in her voice as she described some less than professional situations she encountered. Also in talking with Mary, she seemed to express in her tone of voice and words Peters' and

5. Arthur Blumberg and William Greenfield, The Effective Principal, 2nd ed., (Boston: Allyn and Bacon, Inc., 1986).

Austin's description of "coaching" - "face to face leadership...pulls together people...encourages them ...treats them as full scale partners and contributors."⁶ George Miller seemed luckier than Mary. He too operated from a values position but did not have the conflicts that Mary had encountered.

Jane Edwards, without saying it, seemed to want to be a coach but clearly had not yet assumed a style for herself with which she was comfortable. Her expectation was that her ideas were rational and that they would make sense to all. Being a new principal, she did not feel empowered with either the district office or her staff.

Henry Davis and John Lewis were organizers. They were methodical in their approach and wanted other activities in the school to function similarly. Mel Roberts was a politician both in what he said and how he said it. And while he said things very similar to his fellow principals, his personality stood out as being different. Although he had 13 years as a principal, he did not fit the model one would expect. However, he seemed like he would be more at home at a superintendent's level.

6. Tom Peters and Nancy Austin, A Passion for Excellence, (New York: Random House, 1985), 343.

Bonnie Marks and Bob Johns fit the role of catalysts - creating reactions by taking certain stands. They had a different qualitative feel to them than Bill Olds and Ed Payne who acted as brokers or negotiators in terms of getting things done. Ed Payne was also a good example of who exhibited "loose-tight properties."⁷ While he could be flexible, he was also consistent and when he sensed the need, stood firm in what he expected. Mel Roberts suggested this also when he said, "I may tell them [staff] once, I may tell them twice, if I have to tell them a third time, they won't be here."

As the current literature has suggested, these principals could not be described as either Style A or Style B. Within their personal belief systems, they used their style to effect change and gather followers. They in general had no problem in using the authority of their position but as a means, not an end. Authority for them at times was necessary but never, in general, sufficient.

7. Thomas J. Peters and Robert H. Waterman, Jr., In Search of Excellence, (New York: Harper and Row Publishers, Inc., 1982).

Summary of Findings On Role

It was very clear from this group of principals that they purposely moved into the administrative track because they thought they could make a difference. Even George Miller who did not start out to become a principal, had a district level job which impacted on many people. This group was challenged by the possibility of being creative, of putting into practice innovative ideas and making a difference with teachers. Authority or power did not emerge as values for this group even though there were times that they used the authority that was perceived to be inherent in their role to accomplish their mission and goals. Focus on the students and building quality programs continued to be the rationale for the role characteristics that emerged.

Following from above, these principals measured good days in terms of success of primarily students and staff. They used visible signs - students not rushing out at the end of the day, teachers telling them about successful interventions - in order to measure the quality of the days. When they had good days for themselves, they were assessed both by the success of others - the principals took pleasure in the pleasure of others - and the principals accomplishing some of the goals they had for themselves - working on a new program, becoming more involved on a committee.

In terms of what they did on a daily basis, the individual activities were similar to what many other principals do - meeting buses, getting into the lunchroom, visiting classrooms, teacher evaluations, calling parents. They certainly matched Thomas Greenfield's summary of principal Ed Bell in Wolcott's study.⁸ But these activities seemed to be givens - necessary components in order to keep the building running smoothly - but certainly were not considered sufficient components of the role by these principals. Their typical days could be conceptualized as visible, interactive with students and staff and with continuous assessment, at least on a cognitive level, of goal attainment both in terms of change and quality.

The five on-site visits provided verification of all the little things a principal does. Many events during these visits fell into the category of "responding to situational imperatives."⁹ If one were to view the principalship solely on the basis of these daily tasks, the

 8. Thomas B. Greenfield, "Leaders and Schools: Willfulness and Non-natural Order in Organizations," in Leadership and Organizational Culture, eds. Thomas J. Sergiovanni and John E. Corbally (Chicago: University of Illinois Press, 1986), 142-169, p. 161.

9. William D. Greenfield, "Moral Imagination, Interpersonal Competence, and the Work of School Administrators," in Leaders for America's Schools, eds. Daniel E. Griffiths, Robert T. Stout and Patrick B. Forsyth, (Berkeley: McCutchan Publishing Corporation, 1988), 207-232, p. 209.

position could seem to be an unimportant one. And yet in talking with the principals, their visions and philosophies went beyond what they needed to do on a daily basis to keep their schools running smoothly.

Summary of Findings on Philosophy of Schooling

As a group their philosophies echoed their visions. They reiterated a "whole child" perspective and saw academic skills as but one piece of a whole that was neither a prerequisite or the finishing touch. It was clear from this group that there is no direct correspondence in terms of outcomes but rather the various areas - intellectual, academic, physical, social, and emotional were involved in an inter-related complex design where each was necessary but not one was sufficient by itself.

The outcomes that emerged are summarized below:

- motivated learner
- successful down the road
- self confident
- positive self-worth
- able to set personal goals
- able to acquire positive relationships
- insatiable curiosity
- responsible citizen
- productive citizen
- well organized
- able to problem solve
- empathic towards others
- academically prepared
- realistic
- able to earn a living
- assertive
- concerned with the less fortunate.

These outcomes can be regrouped into (1) concerns about the students as learners: Students as learners would be both motivated and curious. Academic preparation was seen as necessary to satisfy the motivation and curiosity. As part of the learning process students need to be well organized and have problem solving skills. (2) Concerns about the students' self-concept: Students should leave school with feelings of self-confidence and self-worth. In their own behalves, they need to be assertive. Realistic expectations of goals are also important. (3) Concerns for the students' futures: A measure of successful school outcome would be success in life after students leave school in jobs, higher education, with their families, and as responsible citizens. They need to also be concerned with others, especially the less fortunate. These outcomes closely paralleled the goals established by Bill Olds' school: becoming independent learners and active participants in the learning process; mastering basic skills and achieving to their highest potential; developing critical thinking and problem solving skills; developing a positive self-image; developing feelings of accountability and responsibility; having an appreciation of individual differences.

These principals would not have agreed with Kliebard's "Metaphor of Production." Bob Johns exemplified this the best with his description of retention or no retention based

solely on the achievement of certain test scores. Mary Allen wanted very badly to move her teachers from being academic technicians to be more caring and nurturing. On the other hand, an organized curriculum - or route - was important to these principals and Bonnie Marks wanted her students to develop an insatiable curiosity which certainly is important for travel. So they would have been supportive of the "Metaphor of Growth" and the "Metaphor of Travel." Success was not measured by a standard applicable to all students but rather in terms of the student's individual capacities, environment, needs, and dreams. The role of the school was then to be a gardener; a guide and a companion.¹⁰

10. Herbert M. Kliebard, "Metaphorical Roots of Curriculum Design," Teachers College Record 73 (1972): 403-404, quoted in Thomas J. Sergiovanni, The Principalship - A Reflective Practice Perspective (Allyn and Bacon, Inc., 1987), 104-109.

Use of Values

Did these principals operate from a general framework of values? Their responses indicated that they followed closely Sergiovanni's summary of new leadership values:

1. Leadership by purpose: the principals had visions which were communicated to staff. Their orientations were proactive.

2. Leadership by empowerment: all the principals believed that for their visions to be successful they needed staff not only to have an understanding of the goals but to implement the programs. These principals were not fearful of but rather welcomed teacher ideas and became resource providers to the teachers.

3. Leadership as power to accomplish: following from above, authority was not used for its own sake.

4. Leadership as a shared process: while the principals were certainly the responsible parties in their schools, they did not hold on to all the reins of leadership. The schools all had committees of various kinds and the larger schools had grade level team leaders. In the larger schools, it would have been impossible for the principals to have attended all the committee meetings or activities.

5. Leadership to build identity and commitment: these values speak to the culture of the school and assume a quality orientation which was important to all these principals, especially in the districts where money was not as abundant.

6. Leadership to gain believers: disappointments for these principals often came when the district office or staff within the building did not understand or value the goals. While the principals felt rewarding teachers was important, they did not want the teachers to just "go along" in a quid pro quo fashion.

7. Leadership by simplicity: the principals used committees for initial discussions and planning rather than large groups of staff. They also were informal in the way staff was encouraged to suggest ideas directly to the principal.

8. Leadership by non-negotiable values: while these principals were not willing to give up their visions with the first signs of resistance, and were flexible in the strategies they used to accomplish the visions they maintained their values.

9. Leadership as reflection-in-action: the manner in which their visions were carried out did not indicate Band-Aid approaches. They assessed and continuously assessed throughout the process. Not only did they assess the implementation but they also assessed their roles and styles as positive or negatives forces. Reflection was also a component seen in their listening to staff as part of the evaluation process.¹¹

11. Thomas J. Sergiovanni, The Principals, (Boston: Allyn and Bacon, Inc., 1987).

CHAPTER V

SUMMARY AND CONCLUSIONS

Ten elementary level principals were interviewed regarding their beliefs and values in the areas of vision, value conflicts, cognitive style, role, and philosophy of schooling. No a priori assumptions were made regarding what would or should have been found. The interviews used a semi-structured questionnaire and the data were derived from verbatim transcripts of the interviews. A constant comparative method was used to analyze the data. Data were also subject to triangulation strategies. In addition, five of the interviewed principals were "shadowed" in their schools on a regular school day. Actions that matched or represented verbal descriptions by the principals were additional confirmation of the data.

Similar themes were expressed by the ten principals in each of the areas queried:

Vision: Each principal expressed a vision for their school. Fulfillment of a vision was carried out through programs within the school. Both administration and staff were seen as essential components to successful fulfillment.

Value Conflicts: The principals interviewed did not express value conflicts that created untenable positions for them. Conflicts that were expressed were issues that could be managed or were discrepancies between a principal's sense of ideal about themselves and what they felt staff wanted or what their personality allowed.

Cognitive Style: An particular style did not emerge. However, each principal expressed their style as being supportive of staff. They labeled themselves enablers, endorsers, resource providers, supporters. They could use the authority of their office when needed but authority was seen as a means, not an end. A professional stance was felt to be important.

Role: The principals by description and action carried out a number of roles. Their daily and day to day activities were varied and could not always be planned but were necessary for the smooth running of the school.

Philosophy of Schooling: Desired outcomes suggested a "whole child" perspective. Intellectual, academic, social, physical, and emotional areas were seen as appropriate areas for schools to develop towards positive personal growth and societal functioning.

These principals in their responses as a group supported the existence of a framework in which they operated and the existence of a core set of values for themselves, students and staff which enhanced the notion of the principalship as a profession. Additionally, their responses matched theoretical frameworks found in the literature which further validated the generality of the responses. A profile can be identified of a person in the profession of the principalship regarding their beliefs and values:

1. The professional principal develops a vision that guides the school. While on the one hand this is a reactive stance - "We need to do something." - the professional principal becomes proactive in initiating the process of fulfillment. The value implied is that in behalf of the students, the program and atmosphere should be maximally effective in addressing needs within a quality orientation.

2. The professional principal uses authority as a means not an end towards the goal of programmatic effectiveness. Teachers are seen as necessary components of actualization and are also valued for their creativity, ability to influence students and their commitment to the educational process.

3. The relationship of the professional principal to staff has many different labels - provider, endorser, enabler - but all imply a responsibility to teachers. This responsibility is not paternalistic nor places staff in a subservient role but rather is highly professional. In many situations the principal strives to serve as a role model for staff.

4. While staff creativity is encouraged, it is the responsibility of the professional principal to communicate the basic structure and its parameters - even if it is to only endorse a staff created plan. During this process the principal needs to be aware, not necessarily beholding to, of staff sensitivities and needs. To move ahead in spite of staff resistances objections should be based on a rationale rather than authority. The professional principal has to then be willing to accept any staff sanctions that occur.

5. As conflicts arise, either in personality, role, values, the professional principal assesses for him or herself whether or not they are mandates which they have to fulfill in spite of their objections or options they can live with. The maintenance of one's own integrity is important to the continued integrity of the professional principal's roles within the school.

6. Students are seen as the *raison d'être* for the existence of schools. While maintaining organizational structure and integrity, all goals are related to outcomes for students. This value extends to all personnel within the school. It is the responsibility of the professional principal to provide tangible and intangible resources towards this goal.

7. The professional principal's approach to students is a "whole child" perspective. Academic and non-academic areas - social, emotional, behavioral - are all valid areas of responsibility of the school.

8. The professional principal values consistency of style over a particular style which remains rigid in spite of situational needs. While there is no one best style, style is assessed in terms of its ability to marshal staff resources towards actualization of the school's goals. Consistency is one avenue that leads to trust which is necessary for maximum functioning.

9. The professional principal has many roles. While some may be more desirable than others, or seen as more important than others, all are seen as necessary for the school to function smoothly.

Implications of the Study

Implications from the literature and from the responses of the principals interviewed are seen for the training and retraining of principals. At the university level, programming for administrators could include study of ethical leadership including the Statement of Ethics developed in 1973. Students of administration could be assisted in assessing their personal ideologies, styles and potential value conflicts. While administrative interns are being evaluated for their task performance, they can also be taught to perform self-study of their work with staff and students. The education and training stage is not too early for administrative candidates to begin developing a philosophy of their work. Inclusion of the above prior to the first principalship position can help develop self-confidence, direction and preparation for difficult situations that are bound to arise.

By including this area of study, schools of education give sanction to the importance of ethical leadership, a values base and developing a personal philosophy. The ranks of administrators are becoming more diverse so to assume

that administrative students come to educational and training programs with similar backgrounds and beliefs may leave too much to chance. However, for this occur, professors of education need to be knowledgeable of the area of ethics and values and need to have strategies for furthering these discussions with their students.

While educational and training programs are the ideal setting for discussions of ethics and beliefs, this new area of study needs to be brought to those already in principalship positions. One start has already begun in the last year or two in the literature of administration. Further discussion can be provided by inservice opportunities and professional groups. This assumes that current principals are willing to indulge in self-assessment of their ideologies and the impact of them on their schools. Again, if the principalship is to be taken seriously as a profession, this assessment cannot any longer be a choice.

The impact of the above on schools, their staff, and students within them has to do with the culture of the school. Discussions about leaders whether they are called principals or CEOs see the leader as the builder and maintainer of culture within the organization. Principals that bring to their roles and tasks a sense of ethics and philosophy serve as role models for other staff so that the school from the principal to the janitor operate from an

ethical and value-laden practice. Since teachers have more direct effect on students, teachers that operate from an ethical and value-laden practice serve as role models for the students. Ethics and values should not change with changing populations and programs so that for schools that are undergoing changes in student make-up and/or focus, an ethical and value base provides a sense of stability from which changes can be assessed.

Recommendations for Further Study

1. Additional and larger studies need to be conducted to assess value stances of those in principal positions in order to increase the validity of the findings. Also, assessment of similarities and differences between subgroups within and between samples needs to be done.

2. Once a study or studies have been done, a working group can begin to create a definition of the professional practice of the principalship much like has been done in social work. The 1973 Statement of Ethics can serve as a model. The working group should be made up of members from the various ranks of the profession: university professors, researchers, practicing principals, students of administration.

3. Further study on how principals form their values can clarify whether values and beliefs can be taught on formal and informal bases.

4. In general, studies should be less normative. Rather than studying what should be, studies need to ascertain what is and then assess levels of effectiveness and excellence.

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APPENDIX A

APPENDIX A

Introductory Letter to Principals

May 30, 1989

Dear

I am conducting a research study for a doctoral dissertation on the topic of the personal beliefs and values of elementary school principals. Mr. John Doe has suggested that I contact you as a possible participant. Five areas of beliefs and values will be examined: vision, value conflicts, cognitive style, role of the principal, and philosophy of schooling.

If you agree to participate, it will involve an in-depth interview and possibly a school visit by me during which I will "shadow" you for a morning. The timelines are to have the interview at your convenience this summer and if you are selected for the school visit, the visit would be in September. Your comments will be kept confidential and the dissertation will not name you, your school or the district specifically.

I know that June is a very busy time for you but I hope that you will give your participation some thought. Most often principals are told how they should feel and what they should think and do. This is an opportunity for you, as a principal, to talk about yourself and your work in a semi-structured manner. I hope that you would see your participation as a way of contributing to the field of administration and a chance to show off your school.

I will telephone you in a week to discuss your decision. If before then you have any questions, please feel free to telephone me.

Sincerely,

Jeanne E. Sokolec, MSW, ACSW

APPENDIX B

APPENDIX B

List of Codes for Data Analysis

- Vision: Goal-educational
 Goal-organizational
 Goal-personal
 Goal-future orientation
- Actualization-goal achievement strategies
 Actualization-positive factors
 Actualization-negative factors
- Value Conflicts:
 Conflict-personal
 Conflict-educational
 Conflict-managerial
 Conflict-organizational
- Solution-conflict source
 Solution-resolution strategy
 Solution-positive factors
 Solution-negative factors
- Impact-personal
 Impact-staff
 Impact-students
 Impact-organization
- Cognitive Style:
 Style-ideal
 Style-achievement strategy
 Style-negative factors
- Role of the Principal:
 Career change-benefits
- Day-paperwork
 Day-supervision
 Day-students
 Day-parents/community
 Day-curriculum

Philosophy of Schooling:

- Philosophy-content areas
- Philosophy-self concept
- Philosophy-socialization

On-site Visit:

- Supervision of students
- Consultation with teachers
- Building maintenance
- Parent contact
- Paperwork for district office
- Program planning
- Discipline

APPROVAL SHEET

The dissertation submitted by Jeanne Koshaba Sokolec has been read and approved by the following committee:

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The final copies have been examined by the Director of the dissertation and the signature which appears below verifies the fact that any necessary changes have been incorporated and that the dissertation is now given final approval by the Committee with reference to content and form.

The dissertation is therefore accepted in partial fulfillment of the requirements for the degree of Doctor of Education.

April 26, 1990
Date

Philip M. Carlin
Director's Signature