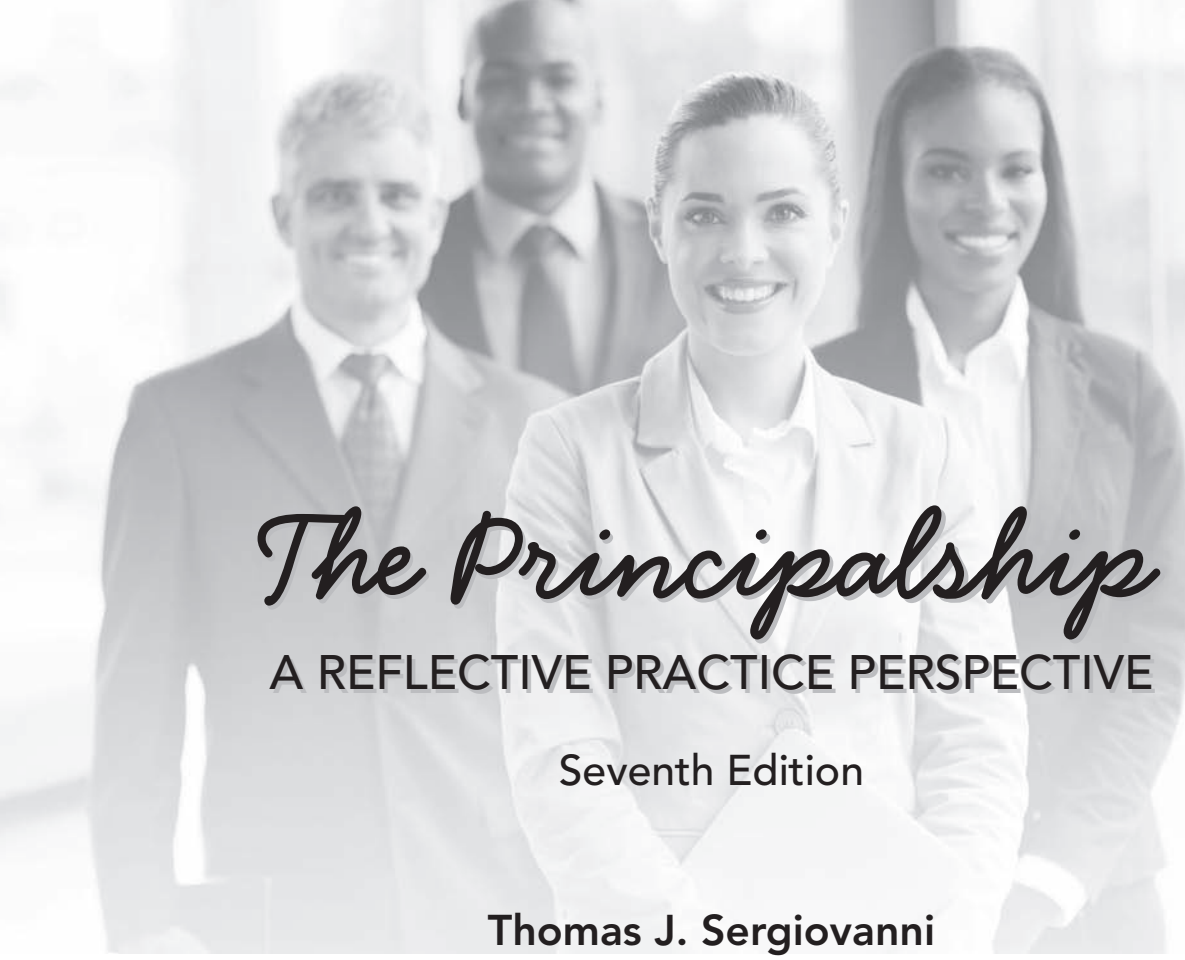
The Pearson Educational Leadership Series

THE PRINCIPALSHIP

A Reflective Practice Perspective

SEVENTH EDITION

Thomas J. Sergiovanni
Reginald L. Green



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A REFLECTIVE PRACTICE PERSPECTIVE

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Library of Congress Cataloging-in-Publication Data

Sergiovanni, Thomas J.
The principalship : a reflective practice perspective / Thomas J. Sergiovanni, Trinity University, San Antonio, Texas, Reginald L. Green, University of Memphis, Memphis, Tennessee. – Seventh edition.
pages cm.
ISBN 978-0-13-261364-4 – ISBN 0-13-261364-6
1. School principals–United States. 2. Educational leadership–United States. 3. School management and organization–United States. 4. School supervision–United States. 5. School improvement programs–United States. I. Green, Reginald Leon. II. Title.
LB2831.92.S47 2015
371.2′012–dc23 2014029835

Loose leaf ISBN 13: 978-0-13-385078-9
ISBN 10: 0-13-385078-1
Case bound ISBN 13: 978-0-13-261364-4
ISBN 10: 0-13-261364-6
E-text ISBN 13: 978-0-13-326171-4
ISBN 10: 0-13-326171-9

10 9 8 7 6 5 4 3 2 1

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About the Authors

Thomas J. Sergiovanni was Lillian Radford Professor of Education at Trinity University, San Antonio, Texas, where he taught in the school leadership program and in the five-year teacher education program. Prior to joining the faculty at Trinity, he was on the faculty of education administration at the University of Illinois, Urbana-Champaign, for 19 years, and he chaired the department for seven years. A former associate editor of *Educational Administration Quarterly,* he served on the editorial boards of *Journal of Personnel Evaluation in Education* and *Catholic Education: A Journal of Inquiry and Practice.* Among his recent books were *Moral Leadership* (1992), *Building Community in Schools* (1994), *Leadership for the Schoolhouse* (1996), *The Lifeworld of Leadership: Creating Culture, Community, and Personal Meaning in Our Schools* (2000), *Strengthening the Heartbeat: Leading and Learning Together in Schools* (2005), *Supervision: A Redefinition* (2007), and *Rethinking Leadership* (2007).

Reginald Leon Green is Professor of Educational Leadership at the University of Memphis. Prior to joining the faculty at the University of Memphis, he was on the faculty of educational administration at Wright State University, Dayton, Ohio. Earlier, Dr. Green served at the teacher, principal, deputy superintendent, and superintendent levels of elementary and secondary education. In 1977, Dr. Green was one of five educators chosen nationally to participate in the Rockefeller Foundation's Superintendency Preparation Program; and in 1996, he was selected as an Associate to the Institute for Educational Renewal, under the leadership of Dr. John Goodlad.

Most recently, Dr. Green published the fourth edition of his book *Practicing the Art of Leadership: A Problem-Based Approach to Implementing the ISLLC Standards,* and the first edition of *The Four Dimensions of Principal Leadership: A Foundation for Leading 21st Century Schools.* He has also authored a book on inner-city education, as well as various articles concerning such topics as educational restructuring, primary grade restructuring, gang violence, and other contemporary educational issues. He has completed national inquiries into

nurturing characteristics that exist in schools and standards and assessment measures being established as part of school renewal. This work led to the development of the Center for Urban School Leadership where Dr. Green administered programs for five years to prepare principals for urban schools using a nontraditional approach. Currently, Dr. Green teaches courses in educational leadership with a focus on instructional leadership, school renewal, and models for turning around low-performing schools.

NEW TO THIS EDITION

- New content has been added that addresses current issues in today's schools. This content affords students an opportunity to acquire information on new requirements in school leadership as well as new approaches to the principalship. Examples of the new contents are discussions of:
  - Common Core
  - Race to the Top
  - Research on Effective Teaching
  - Research on Effective Leadership
  - Research on Transforming Underperforming Schools
  - New Research on Building Professional Learning Communities
  - Focused Professional Development (Learning Forward)
  - New Emphases on Instructional Leadership
  - Supervising the Instructional Program
  - Developing Nurturing Schools
- The results from recent research studies addressing school leadership have been used to update the roles and functions of the principal.
- Video clips have been added throughout the text. The video clips illustrate issues discussed in selected sections of chapters.
- Scenarios with reflective questions have been added to the end of each chapter. The scenarios transform into practical situations the concepts discussed in the chapters.
- A section entitled *Understanding Self* has been added to the end of each chapter. This section contains reflective questions and exercises that allow the reader to assess his or her understanding of the concepts and issues discussed in the chapter.
- The New Theory for the principalship in Chapter 4 has been expanded, clarified, and given focus with the addition of four dimensions of principal leadership: understanding self and others, understanding the complexity of organizational life, building bridges through relationships, and engaging in leadership best practices.
- A Self-Check Quiz on the contents of each chapter has been developed and added to end of chapter materials. The Self-Check Quiz consists of multiple-choice questions that allow the reader to check the extent to which chapter content materials are understood.

- A Glossary of Terms has been added.
- Models for use in leading educational change have been added to Chapter 15.
- The 8 competencies in Chapter 1 have been expanded to 13.

Basic Ideas

There are four dimensions to principal leadership.
There are forces and stages to effective principal leadership.
Teacher effectiveness models are emerging.
Effective schools are learning communities.
Professional development is an essential tool for use in school improvement.
Effective principals provide instructional leadership.
Supervision is crucial in the development and implementation of an effective instructional program.
In school leadership, there are moral imperatives.

Basic Questions Answered

1. What do principals need to know and be able to do?
2. Where and how do principals spend their time?
3. What are the most challenging issues faced by principals of today's schools?
4. How are effective principals turning around underperforming schools?
5. How are effective principals balancing management and leadership functions?
6. How are districts measuring teacher effectiveness?
7. What are the benefits of developing professional learning communities in schools?
8. What are the competencies and disposition of effective school leaders?
9. What are the moral imperatives of school leadership?

Preface

Everywhere you look there is someone with an easy solution for improving schools. "Research says" if you put these principles in place—if you teach, manage, or supervise using this list of behaviors—all will be well. Careers are built, journals are filled, and, for some with entrepreneurial bents, fortunes are amassed as the "solutions" are proposed.

The engine that drives this grand solutions machine is our search for simple answers. This searching, we fear, drives us to think in the rationalistic tradition about our work, to make unwarranted assumptions about the linearity and predictability that exist in the world, and to overestimate the tightness of links between research and practice. The result is the adoption of management theories and leadership practices that look great on paper, sound compelling when heard, and maybe even make us feel good, but that don't fit the actual world of schooling very well.

The term *rationalistic* is chosen over *rational* or *irrational* deliberately, for what is often thought to be irrational is actually rational, and vice versa. Winograd and Flores (1986) sort the differences as follows:

> In calling it [traditional theory] "rationalistic" we are not equating it with "rational." We are not interested in a defense of irrationality or a mystic appeal to nonrational intuition. The rationalistic tradition is distinguished by its narrow focus on certain aspects of rationality which often lead to attitudes and activities that are not rational when viewed in a broader perspective. Our commitment is to develop a new ground for rationality—one that is as rigorous as the rationalistic tradition in its aspirations but that does not share the presuppositions behind it. (p. 8)

In a similar vein, Kozlov (1988) uses the categories "Neats" and "Scruffies" to sort researchers in the field of artificial intelligence as follows: "For a Neat, if an idea about thinking can't be represented in terms of mathematical logic, it isn't worth thinking about. For a Scruffy, on the other hand, ideas that can't be proved are the most interesting ones" (pp. 77–78).

It isn't easy for anyone to be a Scruffy. After all, it's very comfortable to be a Neat. You have all the answers, and you fit nicely into our bureaucratic, technical, and rational culture. Fitting nicely reaps many career rewards. But still, many of us feel uncomfortable with the position of the Neats. A frequent first response to this discomfort is to try to change the world to fit our theories and to damn those aspects of the world that will not cooperate. A better alternative, we propose, is for us to change our theories to fit the world. A scruffy world needs scruffy theories. Reflective practice, as we

will argue in Chapter 3, is key to making scruffy theories work. If we want better schools, we are going to have to learn how to manage and lead differently. This text doesn't provide the answers, but it can help you find them.

The key to accepting the challenges of leadership in a scruffy world is for principals to understand leadership differently. When writing articles and books for principals, it is common to point out how important a principal is to the successful functioning of the school. Part of this ritual is to portray the principal as some sort of superhero who combines the best qualities of strong "instructional leadership" with a messianic ability to inspire people to great heights. It turns out that principals are indeed important, and their leadership is indeed indispensable, but in different ways than commonly thought.

From the perspective of the Neats, principals practice leadership directly by calculating what levers to pull to get the school structured differently and what buttons to push to get people motivated to do what is needed. Neat principals are highly visible players in the drama of leadership. Everything revolves around them. Should neat principals fail to provide the needed leadership, things go awry.

Scruffy principals view the problem of leadership differently. Their leadership is much more subtle and aimed at building substitutes for leadership into the school. Substitutes, they argue, are the keys needed to encourage teachers and students to become self-managing. The sources of authority for leadership, as scruffy principals see it, need to be idea based and anchored to moral commitments. Their job is to create new connections among people and to connect them to an idea structure. They do this by practicing leadership through binding and bonding. Their aim is to build a followership in the school. For the secret to leadership, they argue, is to have something worth following—something to which followers become morally committed.

A key theme in this text is that what we believe to be true about management and leadership depends on the metaphor we use to understand the school. Schools, for example, have traditionally been understood as formal *organizations* of one kind or another, and this metaphor encourages us to think in certain ways about school organizational structure, teacher motivation, power and authority, curriculum development, and supervision and evaluation. If the metaphor were changed to *community,* these ways of viewing the world of school management and leadership would no longer make sense. Instead, a new management and leadership would need to be invented to be more congruent with what communities are and how they function. Key would be the development of communities of practice throughout the school. Communities of practice are known as professional learning communities in some places and as critical friends groups in other places.

Members of communities of practice are committed to learning, sharing, and caring for one another. They come together voluntarily because they feel an obligation to do so. Without this voluntary commitment and practice, little of consequence happens in schools for very long. Trusting relationships are key. Why do we need communities of practice? Because today's learning requirements can only be met when collegiality leads to a shared practice of teaching. Communities of practice, we will

soon see, are not cozy collections of people who are committed to group harmony and little else. They are committed to doing what is right for students.

Learning is often scary and is always hard work. As Wilson and Berne (1999) remind us, "You read, you think, you talk. You get something wrong, you don't understand something, you try it again. Sometimes you hit a wall in your thinking, sometimes it is just too frustrating. Yes, learning can be fun and inspiring, but along the way, it usually makes us miserable. And to move forward we often have to acknowledge that which we do not know" (p. 200). Important learnings emerge when teachers' extant assumptions are challenged—when they experience disequilibrium. "Productive disequilibrium offers useful territory for teachers' learning" (Ball & Cohen, 2000, cited in Wilson & Berne, 1999, p. 200).

But why learn together? Because the greatest asset a school has is its collective intelligence. Leaders have to figure out how to harness this intelligence, to grow it, and to use it to help the school achieve its purposes. This intelligence, however, is too often divided among individuals, and this division dilutes its effectiveness. Thus, as we shall see in this text, school leadership should not just be about making individuals smarter for their own sake. It should also be about making schools smarter. Schools get smarter when individual intelligences are aggregated. And smart schools lead to smart students.

The concept of *lifeworld* is introduced in Chapter 1. We might think of the lifeworld as a school's local values, traditions, meanings, and purposes as embodied in traditions, rituals, and norms that define a school's culture. The lifeworld is important because it is at the core of a school's organizational character. Character is what gives a school a special focus, an idea structure, and an orientation toward purpose that has consistently been linked to more effective schooling as measured by levels of civility and student achievement. Chapter 1 also examines how standards can either help or hinder the development of a school's character depending on whether they are driven by that school's lifeworld or imported from afar.

Throughout the text, readers will find a number of inventories and questionnaires. Their purpose is to help raise and clarify issues, stimulate thought, encourage reflection, and provide a basis for discussion of concepts and ideas. They are not presented as fine-tuned measurement devices suitable for "research purposes"; however, faculties and groups may benefit from collecting school data and using results as a basis for discussion and reflection.

Acknowledgments

Obviously, the contents of a work of this nature come from a number of sources. First and foremost, we express appreciation to Dr. Pastella Hampton, Research Assistant, University of Memphis, and Lakesha A. Simmons, Graduate Assistant, University of Memphis, for their assistance in conducting research that was used to refine this edition, and to Dr. Sherwood Thompson, Professor, Eastern Kentucky University, for his editorial comments to Chapter 14. Expressions of appreciation are also given to

Ms. Tonya Cooper, Principal, Chimneyrock Elementary School, Shelby County School System, for her invaluable work with the creation of end-of-chapter scenarios and multiple-choice questions for the Self-Check Quizzes.

In addition, we would like to thank Dr. Larry McNeal, Chair, Department of Leadership, University of Memphis, and Dr. William Allan Kritsonis, Professor, University of Texas of the Permian Basin, for their motivation, encouragement, and support throughout the creation of this edition.

Finally, the authors would like to thank the reviewers of this edition: Guy Banicki, Illinois State University Judith Docekal, Loyola University Lisa G. Driscoll, University of North Carolina at Charlotte Michael Owens, Wayne State University Kent D. Peterson, University of Wisconsin-Madison.

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Part One

THE MORAL DIMENSION

Understanding Self and Others

Part One of the text serves a twofold purpose. First, it lays a foundation for understanding the contents of the text. Then, speaking to the moral dimension of the principalship, it establishes a framework for leadership in schools of today and tomorrow. It is designed to provide the reader an opportunity to understand self, and what she or he believes and values. Options are also provided for how effective leaders might behave in the principalship. Qualities and characteristics of effective leaders, competencies they need to master, and skills they need to acquire in order to lead effectively while serving in the role of principal are also addressed. The discussions are based on the premise that the qualities identified are moral imperatives for principal leadership.

Leadership is defined in terms of dimensions, and some of the challenges that principals face while serving as instructional leaders are outlined. Having explored an understanding of self and some of the challenges of the principalship, the reader is invited to develop an understanding of other individuals working in the schoolhouse, as well as those receiving services from the school.

Comprehensively, Part One lays the foundation for the remainder of the text, which describes the moral imperatives of the principalship and illustrates how principals might address those imperatives through reflective practice. The reader can position her- or himself to develop a deep understanding of (1) what it means to be a principal; (2) how one develops craft-knowledge sufficient to serve in the role; (3) the different aspects of schooling; (4) conditions that exist in the schoolhouse; (5) sources of authority; and (6) the importance of relationship building.

1

SETTING THE STAGE

Administering as a Moral Craft

This chapter focuses on setting the stage for leadership in the principalship, providing a framework for bringing leadership together as a coherent strategy for change and as a moral spearhead for practice. Leadership practice in the principalship is an incredible challenge. However, successful principals are everywhere. They know that for every challenge, there is a reward for them, their school, and the children they serve. Few professions offer as much in return for the required dedication and commitment.

Granted, principal leadership is the key ingredient in school effectiveness, and it takes a special person to lead a 21st-century school. That person has to understand self and others, understand the complexity of organizational life, build bridges through relationships, and develop the capability necessary to engage in leadership best practices (Green, 2010). With these four dimensions operating simultaneously, a foundation for effective principal leadership is in place.

Operationalizing these dimensions, principals can establish professional learning communities wherein **trusting relationships** exist among teachers and principals, and leadership is distributed throughout the organization. Once trusting relationships are established, common values are shared, collaboration exists between and among individuals and groups, there is disciplined behavior in the school, the faculty conducts inquiry into best practices, and actions necessary to maintain professional growth and achieve student success are taken (DuFour, DuFour, Eaker, & Many, 2010; Fullan, 2003a). It is a huge challenge to build a professional learning community in a school where one does not exist. However, some school leaders have achieved success in doing so. We need to learn from these school leaders, focus on the right processes and procedures, and create the conditions

under which new leaders can develop and flourish (Fullan, 2003a). Overcoming this challenge is the moral imperative of school leadership, but there are obstacles. Prime among them are the social relationships in schools that too often keep us apart. Yet, it is the quality of these relationships that helps schools develop the relational trust necessary for lasting change. Relational trust is a powerful concept that we discuss in the following section. It is also a necessary ingredient in any attempt to bring about change for the better.

Building Relational Trust

Roland Barth (2006) suggests that relationships within schools can be categorized in four ways: as parallel play, as adversarial, as congenial, and as collegial. To illustrate parallel play, imagine two 5-year-olds reading a book in different sections of a kindergarten classroom. One has a book on dogs; the other has a book on cats. They each appear to be enjoying the contents of their books but never share their books with each other, let alone come together to determine that they each are viewing a book on animals that are pets. When relationships become adversarial, teachers get students in their separate classrooms, teach them content material that will be assessed on the state achievement test, and wait for the results, hoping that their students make the highest score. **Congenial relationships**, by contrast, are interactive and positive, personal and friendly, reflecting consideration for others and being helpful when we can. Despite their value, congenial relationships represent promises unfulfilled. There seems to be a line that teachers and others dare not cross. Being involved in the teaching life of others, sharing one's practice with them by working together, and in other ways coming together on behalf of the teaching and learning success for all children may come about, but these characteristics are rarely realized on the congenial side of the line. Thankfully, crossing over the line puts us in a world where together we are able to function as communities of practice. At the heart of any **community of practice** are collegial relationships. In order for meaningful improvement to occur in schools a **collegial culture** must exist, one in which professionals talk about practice, share their craft knowledge, and observe and root for one another's success. In the absence of such a culture, staff or curriculum development, teacher leadership, student appraisal, team teaching, parent involvement, and sustained change are not possible (Barth, 2006).

Views of the Principalship

This text discusses a number of views of the principal: strategic problem solver, cultural leader, barterer, and initiator are examples. Are these the roles and images of leadership that one should follow in order to be an effective principal? Similarly, what about the motivational concepts and ideas that are central to the new principles of management and leadership that will be presented in Chapter 4? Also, what are the

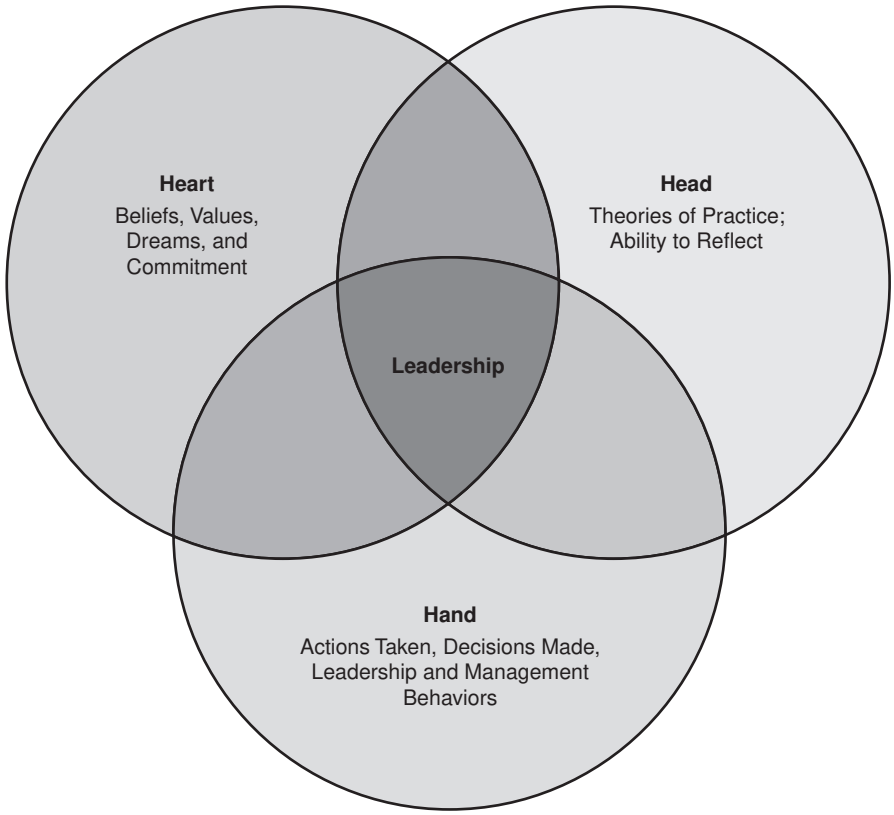


figure **1.1** **The Heart, Head, and Hand of Leadership**

benefits of discussing the characteristics of successful schools, the forces of leadership, strategies for bringing about change, the dimensions of school culture, and concepts discussed in other chapters? Will these ideas, if routinely applied, help one to be an effective principal? The answer is yes—well, no—actually, maybe. Unfortunately, there is no guarantee that the concepts presented in this text will fit all readers or all the contexts and problems they face in the same way. Leadership is a personal thing. It comprises three important dimensions—one's heart, head, and hand. A graphic depiction of these dimensions appears in Figure 1.1. That is why different principals in the same situation so often behave differently. Leader and context defy separation.

The Heart, Head, and Hand of Leadership

Heart—The *heart* of leadership has to do with what a person believes, values, dreams about, and is committed to—that person's *personal vision,* to use a popular term. To be sure, sharing personal conceptions of what a good school

is will reveal many common qualities, but what often makes them personal statements is that they will differ, as well.

Head—The *head* of leadership has to do with the theories of practice each of us has developed over time and our ability to reflect on the situations we face in light of these theories. This process of reflection combined with our personal vision becomes the basis for our strategies and actions.

Hand—The *hand* of leadership has to do with the actions we take, the decisions we make, and the leadership and management behaviors we use as our strategies become institutionalized in the form of school programs, policies, and procedures.

As with heart and head, how we choose to manage and lead are personal reflections, not only of our vision and our practical theories, but also of our personalities and our responses to the unique situations we face. In this idiosyncratic world, one-best-way approaches and cookie-cutter strategies do not work very well. Instead, diversity will likely be the norm as principals practice. Each principal must understand self (Green, 2010), find her or his way, and develop her or his approach, if the heart, head, and hand of leadership are to come together in the form of successful principalship practice.

Does that mean that the concepts presented in this text are not true? If they are not truths to be emulated and imitated, what are they? They comprise a different kind of truth. They represent a concept boutique on one hand and a metaphor repository on another. The idea is to visit the boutique, trying on one idea after another, seeking a fit here or there, and to visit the repository, seeking to create new understandings of situations one faces and new alternatives to one's practice. As boutique and repository, the role of knowledge about schooling changes from being something that principals apply uniformly to being something useful that informs the decisions they make as they practice. This is the nature of **reflective practice**. *Principals reflect* on their actions, and this reflection becomes a part of a continuous learning process.

The Moral Imperative

Although many may prefer the work of administration to be some sort of applied science that is directly connected to a firm knowledge base of theory and research, the reality we face is that it is much more **craftlike**. The message from this reality is equally clear. Successful practice requires the development of **craft know-how**.

Yet, administering schools is no ordinary craft. Bringing together head, heart, and hand in practice; the unique nature of the school's mission; and the typically **loosely structured**, **nonlinear**, and messy context of schooling combine to make administering a ***moral* craft**, a fate shared with teaching (Tom, 1984), relationship building (Green, 2010), and supervision (Sergiovanni & Starratt, 1988). The reasons for this **moral imperative** are (1) the need to transform schools from organizations to

institutions; (2) the need to build character and instill virtue; (3) the need to adopt standards; (4) the need to develop relationships; and (5) the need for discretion.

From Organizations to Institutions

The job of the principal is to transform the school from being an ordinary organization concerned with technical functions in pursuit of objective outcomes into an *institution.* Organizations are little more than technical instruments for achieving objectives. As instruments, they celebrate the value of effectiveness and efficiency by being more concerned with "doing things right" than with "doing right things." Institutions, however, are effective, efficient, and more. They are responsive, adaptive enterprises that exist not only to get a particular job done, but also as entities in and of themselves. In Selznick's words:

> Organizations become institutions as they are infused with value, that is, prized not as tools alone but as sources of direct personal gratification and vehicles of group integrity. This infusion produces a distinct identity for the organization. Where institutionalization is well advanced, distinctive outlooks, habits, and other commitments are unified, coloring all aspects of organizational life and lending it a social integration that goes well beyond formal coordination and command. (Selznick, 1957, p. 40)

Selznick's conception of institution is similar to the more familiar conception of school as a learning community. In learning communities, the focus is on learning, and educators are committed to achieving high levels of learning for themselves and for all students (DuFour, DuFour, Eaker, & Many, 2006). To achieve either, the school leader must move beyond concerns for goals and roles to the task of building purposes into the school structure and embodying these purposes in everything that she or he does with the effect of transforming school members from neutral participants to committed followers. The embodiment of purpose and the development of followership are inescapably moral. The rationale for this statement is further expanded in the next section.

Building Character and Instilling Virtue

The job of the school leader is to provide students with knowledge and skills and to build *character* and instill *virtue.* As Cuban (1988) points out, both technical and moral images are present in teaching and administering. "The technical image contains values that prize accumulated knowledge, efficiency, orderliness, productivity, and social usefulness; the moral image, while not disregarding such values, prizes values directed at molding character, shaping attitudes, and producing a virtuous, thoughtful person" (p. xvii). Technical and moral images of administration cannot be separated in practice. Every technical decision has moral implications. Emphasizing orderliness, for example, might serve as a lesson in diligence for students and might be a reminder to teachers that professional goals cannot be pursued to the extent that bureaucratic values are compromised.

Adopting Appropriate Standards

Whether concern is for virtue or efficiency, some *standard* has to be adopted. What is efficient in this circumstance? How will virtue be determined? Green (2013) proffers that appropriate standards for today's schools should address the questions, "What does an individual need to know and be able to do in order to be an effective leader in today's schools? What type of disposition and what knowledge, skills, and attributes are needed to enable a school leader to perform effectively?" (p. 5). Determining criteria for effective leadership and teaching, deciding on what is a good discipline policy, or coming to grips with promotion criteria standards, for example, all require value judgments. Answers to questions of how and what cannot be resolved objectively as if they were factual assertions, but they must be treated as **normative assertions**. Normative assertions are true only because we decide that they are. "We must decide what ought to be the case. We cannot *discover* what ought to be the case by investigating what is the case" (Taylor, 1961, p. 248). Normative assertions are moral statements.

Balancing Relationships Between Principals and Others

Despite commitments to empowerment and shared decision making, relationships between principals and others are inherently unequal. Although it is often downplayed, and whether they want it or not, principals typically have more *power* than teachers, students, parents, and others. This power is in part derived legally from their hierarchical position, but, for the most part, it is obtained by virtue of the greater access to information and people that their position affords them. Principals are not chained to a tight schedule. They do a lot of walking around. They are the ones who get the phone calls, who are out in the streets, who visit the central office, who have access to the files, and so forth. As a result, principals function more frequently in the roles of figurehead and liaison with outside agencies. Their access to more information allows principals to decide what information will be shared with others, what information will be withheld, and frequently what information will be forgotten. Often, teachers and others in the school rely on the principal to serve as the "coordinating mechanism" that links together what they are doing with what others are doing. In teaching, where much of the work is invisible, the coordinating function is a powerful one. Furthermore, much of the information that principals accumulate is confidential. When teachers have problems, they frequently confide in the principal. Information is a source of power, and the accumulation of power has moral consequences.

Whenever there is an unequal distribution of power between two people, the relationship becomes a moral one. Whether intended or not, leadership involves an offer to control. The follower accepts this offer on the assumption that control will not be exploited. In this sense, leadership is not a right but a responsibility. Morally speaking, its purpose is not to enhance the leader's position or make it easier for the leader to get what she or he wants but to benefit the school. The test of **moral leadership** under these conditions is whether the competence, well-being, and independence of the

follower are enhanced as a result of accepting control and whether the school benefits. Tom (1980) makes a similar argument in pointing out that "the teacher-student relationship is inherently moral because of its inequality" (p. 317).

Utilizing Discretion

The context for administration is surprisingly loose, chaotic, and ambiguous. Thus, despite demands and constraints that circumscribe the principal's world, in actuality, *discretion* is built into the job, and this discretion has moral implications.

For example, frequently how things look is different from how things work. In their timeless research on the reality of managing schools, Morris and colleagues (1984) discovered numerous instances in which principals and schools were able to develop implicit policies and pursue courses of action that only remotely resembled officially sanctioned policies and actions. They noted that not only maintaining student enrollment levels, but also increasing them was often viewed as a managerial necessity by principals. However, principals were not motivated for official "educational" or "societal" reasons, but to protect or enhance the resource allocation base of their schools. Staffing patterns and budget allocations were often linked to a principal's standing among peers and were related as well to morale and productivity levels among teachers. Furthermore, principals of larger schools had more clout with the central office. Simply put, more staff and bigger budgets were viewed as being better. Schools losing resources, however, "usually suffer a decline in purposefulness, security, and confidence that goes beyond the loss of operating funds" (p. 128).

As a result, principals tended to view monitoring, protecting, and increasing school enrollments and attendance as one of their key, albeit implicit, tasks. This led them to engage in courses of action that were at variance with the officially sanctioned definition of their tasks and roles. There was, for example, a concerted effort to change existing programs and revise the existing curriculum so they were more attractive to students and thus better able to hold their enrollment. One of the principals reported, "We may have to cut physics, for instance, and add environmental science. It's in. . . . I've got to get my faculty to see that they have to reshape the traditional curriculum of the school. Their jobs are at stake" (Morris et al., 1984, pp. 128–129). Another principal in their study worked to change his school's kindergarten program so that it was more structured and "rigorous," not for educational reasons or philosophical commitments, but so that the school would be better able to compete with the neighborhood Catholic school.

Despite clear guidelines governing attendance procedures (e.g., fixed attendance boundaries and age requirements), principals became flexible by bending the rules for student admissions and taking liberties with reporting enrollment information to the central office. In the words of one principal, "In general, I'm not picky about where the students in the school live," noting further that if a child subsequently became a behavioral problem or was suspected of being a behavioral problem, she always checked the home address (Morris et al., 1984, p. 30).

Some principals were inclined to look the other way even when they knew that students came from other school districts if they thought the students were "extremely bright." Some principals used leniency in enforcing attendance boundaries as the lever to extract better behavior and more achievement from students. Principals stressed that they were doing the parents and students a favor and expected good behavior in return. Not all students were treated equally. While bright students were encouraged to attend, "troublemakers" were not. In the words of one principal, "Let him go, that guy's been nothing but trouble for us" (Morris et al., 1984, p. 131).

Although discretion can provide principals with a license for abuse, it is also a necessary prerequisite for leadership. "From choice comes autonomy. Autonomy is the necessary condition for leadership to arise. Without choice, there is no autonomy. Without autonomy, there is no leadership" (Cuban, 1988, p. xxii). Discretion, therefore, is necessary if principals are to function effectively. Yet, how principals handle discretion raises moral issues and has moral consequences for the school.

Engaging in Leadership Best Practices

Effective school leaders identify and utilize best practices to address the assessed needs of students. Using theories of practice, they communicate with various publics, make decisions, manage conflict, and lead change. To a large extent, these happenings determine the practices, processes, programs, and procedures that inform the teaching and learning process. Poorly conceived, they have a disparate effect on teacher attitudes and student learning. This line of reasoning is supported by Houchens and Keedy (2009), who argue that principals' theories of practice have an impact on school culture and climate variables, ultimately impacting the teaching and learning process. Identifying practices that effectively provide all students an opportunity to learn is a moral imperative.

UNDERSTANDING THE MORAL DIMENSION IN LEADERSHIP

Key to understanding the moral dimension in leadership is understanding the difference between *normative rationality* (rationality based on what we believe and what we consider to be good) and ***technical rationality*** (rationality based on what is effective and efficient). Happily, the two are not mutually exclusive. Principals want what is good and what is effective for their schools, but when the two are in conflict, the moral choice is to prize the former over the latter. Starratt makes the point poignantly as follows: "'Organizational effectiveness' employs technical rationality, functional rationality, linear logic. Efficiency is the highest value, not loyalty, harmony, honor, beauty, truth. One can run an efficient extermination camp or an efficient monastery. The principles of efficiency are basically the same in either context" (Sergiovanni & Starratt, 1988, p. 218).

Normative Rationality

Normative rationality provides the basis for moral leadership. Instead of just relying on bureaucratic authority to force a person to do something or a psychological authority to manipulate a person into doing something, the leader—principal or teacher, as the case may be—provides reasons for selecting one alternative over another. The reasons are open to discussion and evaluation by everyone. To pass the test of normative rationality, the reasons must embody the purposes and values that the group shares—the sacred covenant that bonds everyone in the school together as members of a learning community.

Research and reflecting on personal experience can often provide us with patterns of characteristics to which many students or teachers are likely to respond in the same way. These insights can help, and this form of knowledge is often invaluable to principals. But this knowledge cannot represent a source of authority for action that replaces **moral authority**. As Smith and Blasé (1987) explain:

> A leader in moral terms is one who fully realizes the . . . serious limitations on our ability to make accurate predictions and master the instructional process. Moreover, such a leader must encourage others to fully realize these limitations. Based on this awareness, a moral leader refuses to allow discussions of major pedagogical issues to be dominated by what the research supposedly demonstrates. . . . To do so would be to perpetuate the fiction that we have the kind of knowledge that we do not in fact possess. Rather, disagreements over how and what to teach must be played out in terms of reasoned discourse. The generalizations of educational inquiry can of course be part of these reasons, but they are not epistemologically privileged—they must share the stage with personal experience, a recounting of the experience of others, with philosophical and sociological considerations, and so on. (p. 39)

The key is the phrase **epistemologically privileged**. It is not that research findings are unimportant, but that they are no more important than other sources of authority. One "so on" that might be added to Smith and Blasé's list is conceptions of what is valued by the school that define it as a unique learning community.

Normative rationality influences the practice of leadership in schools in two ways. Principals bring to their job normative baggage in the form of biases and prejudices, ways of thinking, personality quirks, notions of what works and what doesn't, values that are prized, and other factors that function as personal theories of practice governing what they are likely to do and not do. School cultures are defined by a similar set of biases that represent the center of shared values and commitments that define the school as an institution. Both are sources of norms that function as standards and guidelines for what goes on in the school. As a school's culture is strengthened and its center of values becomes more public and pervasive, normative rationality becomes more legitimate. Everyone knows what the school stands for and why, and everyone can articulate these purposes and use them as guidelines for action. This in-building of purpose "involves transforming [persons] in groups from neutral, technical units into participants who have a

exhibit 1.1

Normative Rationality vs. Technical Rationality

Understanding the Moral Dimension in Leadership
Normative Rationality vs. Technical Rationality

Normative Rationality	Technical Rationality
• Beliefs and what one considers to be good • Reasons for one's position • Loyalty, harmony, honor, beauty, and trust • Group values • Sense of community	• Bureaucratic authority • Psychological authority • Efficiency and effectiveness the highest values • Position based on research findings; data • How individuals think; how things are usually done

peculiar stamp, sensitivity, and commitment" (Selznick, 1957, p. 150). Key categorizations of the two types of rationality are listed in Exhibit 1.1.

STRENGTHENING THE HEARTBEAT

Leadership combines management know-how with **values** and ethics. Leadership practice, as a result, is always concerned both with what is effective and what is good; what works and what makes sense; doing things right and doing right things. As school improvement projects are considered, questions of what is good, what makes sense, and what is worth doing deserve equal billing with questions of effectiveness and efficiency. When the two sides of the ledger are in conflict, leaders will be known by the side they emphasize.

A strong heartbeat is a school's best defense against the obstacles leaders face as they work to change schools for the better. However, strengthening the heartbeat of a school requires that we rethink what leadership is, how leadership works, what leadership's relationship to learning is, and why we need to practice both leadership and learning together.

When leaders-principals are able to strengthen the heartbeat, their schools become stronger and more resilient. These qualities help leaders to share the burdens of leadership with others, to create collaborative cultures, and to be continuous learners. Leadership inevitably involves change, and change inevitably involves learning. Both are easier to improve when we understand the **mindscapes** we bring to our practice, examine them in light of what we want to do, and change them. Change begins with us—with our hearts, our heads, and our hands that drive our leadership practice.

Lots of words could be used to capture the meaning of ***heartbeat***. Three cousins—*social capital, community,* and *relational trust*—are good examples. Each of the cousins is a little different. **Social capital** provides the support students and teachers need (Coleman, 1988; Smith, 2000–2009). **Community** provides the caring

that students and teachers need (Lenz, 2007; Sergiovanni, 1994), and **relational trust** provides the basis for developing deep reciprocal roles and role relationships with strong moral overtones (Bryk & Schneider, 2002). Reciprocal roles and role relationships can transform schools from ordinary to sacred places. They are essential, for example, in building community in schools. Taken together, the three cousins enrich leadership and show how a strengthened school heartbeat can provide support for deep learning for both teachers and students.

Conventional wisdom tells us that leadership is about finding solutions to the problems that people face. However, in reality, leadership is more about helping people gain an understanding of problems they face and about helping them manage these problems and even learn to live with them. Even in the best of circumstances, leadership is not easy. Community is a good example. Few leaders find their efforts at community building to be models of perfect harmony. Important differences exist among any faculty that is alive and well. But the wise leader knows that schools need centers of harmony that contain enough of what is important and shared to hold things together. At the same time, wise leaders encourage differences in how this center of ideas is embodied in practice. Community for them is like a mosaic (see, e.g., Etzioni, 1996/1997) composed of many different elements held together by a common frame and glue.

Few leaders have all the competence, all the time, and all the information needed at any one time to get the job done. The wise among them try hard to rely on others and to build up the leadership capacity in others. Leaders have funds of knowledge and funds of skills that need constant replenishment. An important part of their job is to cultivate and amass the **intellectual capital** needed for the school's organizational IQ to increase collective capacity. No doubt smart leaders help, but it is smart schools that will make the difference over time. That is why leadership and learning together are so important. We can have leadership, and we can have learning. We can focus on individuals, and we can focus on the school. We can view learning as a private good that serves individual interests but has little to do with pursuing school goals. Or we can view learning as something individuals feel compelled to do because it is a public good that helps schools achieve their goals (Elmore, 2002a). In each case, effects multiply when these dimensions are brought together.

The 13 Core Competencies

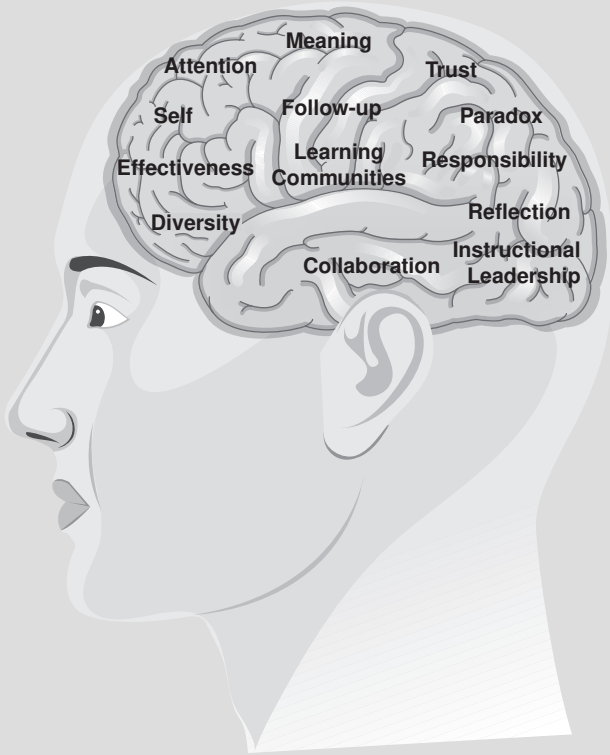
Normative rationality and the moral imperative point to 13 core competencies that are key to success in today's principalship. Once the competencies are mastered, capacity building, community building, and leading with ideas move to the center of the principal's work. Four of the competencies—the management of attention, the management of meaning, the management of trust, and the management of self—are borrowed from Warren Bennis (1989). The remaining nine competencies are the management of paradox, the management of effectiveness, the

management of instructional leadership (teaching and learning), the management of follow-up, the management of diversity, the management of responsibility, the management of collaboration, the management of reflection, and the management of learning communities. See Exhibit 1.2 for a listing of these competencies. To be

exhibit 1.2

Thirteen Competencies Key to Normative Rationality and Moral Imperative

1. Management of Attention
2. Management of Meaning
3. Management of Trust
4. Management of Self
5. Management of Paradox
6. Management of Effectiveness
7. Management of Follow-up
8. Management of Instructional Leadership (Teaching and Learning)
9. Management of Diversity
10. Management of Responsibility
11. Management of Collaboration
12. Management of Reflection
13. Management of Learning Communities



successful as developers and community builders, leaders will need to back up their leadership with ideas. And for leading with ideas to be successful, leaders will have to master the 13 basic competencies (Green, 2013; Sergiovanni, 2001).

The Management of Attention

The management of *attention* is the ability to focus others on values, ideas, goals, and purposes that bring people together and that provide a rationale—a source of authority for what goes on in the schoolhouse. Leaders manage attention by what they say, what they reward, how they spend time, the behaviors they emphasize, and the reasons they give for the decisions they make.

Leaders practice ***purposing***, defined as that continuous stream of action that induces clarity, consensus, and commitment regarding schools' purposes (Vaill, 1984). Purposing involves both the vision of the leader and the covenant that the school shares. In successful schools, consensus runs deep. It is not enough to have worked out what people in the school stand for and what they expect to accomplish. Leaders continuously struggle to develop a binding and solid agreement that represents a value system for living together and forms the basis for decisions and actions (Green, 2010; Sergiovanni, 1992).

The Management of Meaning

The management of *meaning* is the ability to connect teachers, parents, and students to the school in such a way that they find their lives useful, sensible, and valued. Even the mundane routines of schools are valued and are connected to the larger purposes and meanings that define who people are, why they are in the school, why the school needs them, and why their participation in the school is worthwhile. On any level, it is beneficial for school leaders to know the strengths and interests of individuals with whom they work and serve (Green, 2010). Together the management of attention and the management of meaning answer these questions: What are our priorities? What are our commitments to each other? Why are they important? How do they link to the ordinary things that we do? The answers to these questions help people become connected to one another and to the school, building hope and commitment, and raising levels of civility and academic engagement. There is unity of purpose and the focus is on student learning (Green, 2010).

The Management of Trust

The management of *trust* is the ability to be viewed as credible, legitimate, and honest. Bennis (1989, p. 21) uses the term *constancy* to communicate that whether parents, teachers, and students like what a leader does or not, they always know where that leader is coming from, what that leader stands for, and why that leader is doing

things. It is not enough to make decisions; leaders have to explain them and show how they are linked to the heartbeat of the school, as well.

However, trust has more than personal qualities. It is a key ingredient in the development of social capital. Coleman (1988) found that social capital correlates with the development of **human capital** (more learning in a school, for example), a finding confirmed by Putnam (2000) and more recently by Bryk and Schneider (2002). These latter researchers provide a compelling case for strong links between the amount of relational trust found in a school and made available to students and the students' subsequent academic performance. Not only does social capital seem related to learning; it is also a social need of students and others. If social capital is not available to students, they create it for themselves by turning more and more to the student subculture and its norms. Too often, however, student norms stand in the way of student achievement.

The Management of Self

The management of *self* is the ability to know who you are, what you value, what you believe, and why you behave the way you do. When a leader's behavior can be defended in such a way that others at least understand and respect that behavior, then self-knowledge has been achieved. Green (2010) explains that without a clear understanding of one's self-beliefs, values, and strengths, it is difficult to successfully lead any group or organization. Despite the importance of the management of self, too often this competency is neglected. The management of self is an art worth developing—though one not easily achieved without a measure of practical intelligence. Practical intelligence is the ability to know how things work and the ability to make things work. The cultivation of keen insight into human nature and the use of this knowledge in some practical way are examples (Sternberg, 1996).

The Management of Paradox

The management of *paradox* is the ability to bring together ideas that seem to be at odds with each other. Combining an emphasis on rigorous standards with a refusal to impose standardization or compromise local discretion; expecting a great deal from teachers while empowering them to take control of their professional lives; responding to adolescent needs for independence while providing the disciplined safe havens they need; involving parents without compromising professional autonomy; and bringing everyone together in a common quest united by shared values while honoring diversity and promoting innovative ideas are examples. When implemented, these seemingly contradictory ideas can actually bring us together, make us brighter and stronger, and help us achieve larger purposes. The management of paradox is easier when leaders look to ideas, values, and visions of the common good as a moral sense of authority for what they do.

The Management of Effectiveness

The management of *effectiveness* is the ability to focus on the development of capacity in a school that allows it to improve performance over time. Key to the management of effectiveness is how school success is understood and measured. When effectiveness is managed well, school success involves getting results and more. School success also involves learning and cultivating relationships. Learning builds the capacity of teachers to know more about their work, to figure out how to create better pathways to success, and to improve practice as a result. Relationships, as pointed out earlier, provide the support that teachers need to come together as a community of learners and a community of practice. Thus, determining the success of any initiative requires answers to three sets of questions:

1. What is being accomplished? Are the results of high quality? Does what is being done make sense to parents and other constituencies?
2. What are they learning about their work? Are they likely to be more effective the next time around as a result? How are they sharing what they are learning?
3. Is everyone working together as a community of practice? Is everyone supporting one another and helping one another? Is the community proud of what they are doing and do they enjoy working together?

Trust first and then vision. Next comes strategy followed by action plans, but success requires that we go to the next step. Strategies and action plans need day-to-day planning and execution. Who will do what, by when, and with whom? What specific training will be needed that will enable us to be successful? A system of supervision needs to be in place to monitor what is going on and to provide in-class and on-call professional development. If teachers need help, for example, they ought to be able to get it on the spot—when they need it. Other questions to ask: What kinds of assessments will be needed? Who will be responsible for all the little day-to-day things that need to be done for our action plans to become realities? Leaders, in other words, need to be competent in the management of *follow-up.*

Too often, leaders seem to tire when it gets down to details, preferring to delegate these responsibilities to others. Without follow-up by the full complement of a school's leadership and the full complement of a school district's leadership, the job rarely gets done to standard. Execution of plans takes detailed, careful, and continuous supervision, support, and assessment.

The Management of Follow-up

The management of follow-up is more likely to be accomplished when principals are involved in the day-to-day struggle of implementation. Principals, for example, should participate in professional development training. Learning walks or walkthroughs should become a part of their weekly routine as they visit classrooms to examine firsthand what is going on and what progress is being made. Responsibility

for follow-up can be shared but not delegated. Unless principals are in the midst of the implementation process and unless they play key roles in its management and assessment, implementation of any quality and for any length of time is likely to evaporate. Principals need to establish an evaluation process with a built-in plan for student achievement. Teacher leadership, too, is critical to successful follow-up. Without teacher leadership, we change how things look but not how things work.

The Management of Instructional Leadership (Teaching and Learning)

Effective leaders facilitate the application of current knowledge in learning and human development. They are able to create a community of learners who use data to make instructional decisions that meet the needs of all students. In essence, they design an instructional program making data-driven decisions and coordinating support in a manner that enhances academic achievement.

The Management of Diversity

Effective leaders manage diversity by creating an environment in which the ethical and moral imperatives of schooling in a democratic society are valued. Unfair treatment and inequities are recognized and eliminated (Green, 2010). Attending a school with a diverse population enables students to understand the perspectives of students from various backgrounds and cultures. In addition, it prepares them to function in a multicultural world. No student should be deprived of the opportunity to interact and learn from other individuals.

The Management of Responsibility

The management of *responsibility* involves the internalization of values and purposes that obligate people to meet their commitments to one another and to the school. Professionals have long known the power of both extrinsic rewards and intrinsic rewards in motivating people. Extrinsic and intrinsic rewards comprise two widely accepted motivational rules: *what is rewarded gets done* and *what is rewarding gets done.* In reality, people are motivated by three rules, the third being *what one feels a duty or obligation to do gets done.* When people feel obligated to do something, they not only do it well, but also do it even when the going gets tough. They do it whether it is pleasant or not and whether they want to or not. This third motivational rule is important because duty and obligation are not only stronger than gain or pleasure, but also sustain themselves over time.

Thus, the best way to manage responsibility is to evoke duty and obligation as motivators. This is done when schools are helped to become not just learning and caring communities, but communities of responsibility. In communities of responsibility, leadership is based on a different kind of authority—one embedded in the ideas that encourage us to respond from within, to become self-managing. Instead of following the leader, the emphasis is on following

commitments, promises, obligations, validated research, sound principles, agreed-upon standards, and other ideas. In communities of responsibility, it is norms, values, beliefs, purposes, goals, standards, hopes, and dreams that provide the ideas for morally based leadership. These ideas are not mandated scripts that require carbon-copy conformity. They are, instead, more like frameworks that provide people with a heightened sense of understanding, meaning, and significance. When leadership is morally based, its effect on spirit, commitment, and results is not only strong but obligatory, allowing the school to function with commitment and determination.

The Management of Collaboration

The management of collaboration involves engaging all stakeholders in the creation of a caring, safe community that values self-motivation, active inquiry, and positive social interaction. They are able to work in a multicultural environment and can enhance student achievement, working with individuals who have diverse views and interests (Green, 2010). For example, in schools, the principal, faculty, and staff work with one another, often in teams, participating in open dialogue about instructional strategies and student performance, sharing knowledge and learnings, and building consensus to complete tasks and to achieve shared school goals.

The Management of Reflection

Effective leaders reflect on practice and evaluate results for the purpose of modifying future practices as warranted. They acquire and analyze knowledge about themselves to achieve self-understanding, as they realize the ability to self-assess and initiate action for self-improvement is a critical aspect of being an effective leader (Green, 2010).

The Management of Learning Communities

Effective leaders create empowering environments that support innovation, involvement in decision making, and continuous professional development. They distribute leadership throughout the organization and influence individuals to display mutual support for goal attainment (Green, 2010).

In sum, the 13 basic competencies are the basis for developing and using an idea-based leadership. This use changes the sources of authority for leadership from bureaucratic requirements and from the leader's personal charm quotient to purposes, values, theories, and other cognitive frameworks. These distinctions will be explained throughout this text. Though bureaucratic and personal requirements may be helpful, they should not be placed at the center in deciding what to do. In placing these competencies into practice aspiring and practicing principals are well advised to realize that in today's schools, there is an overemphasis on the personal

attributes of school leaders and an insufficient focus on the required cognitive demands of instructional practice. Successful leaders who transform schools have explicit knowledge of instructional practices that are effective. Their learning and the theory of their learning is exhibited in their work. They participate in professional development activities to enhance their own learning and engage others in conversations about effective instructional practices, process, and procedures. Also, they understand that school improvement is a transformational process that occurs in a culture of learning where knowledge about powerful teaching and learning is accessible to all individuals who are willing to embrace it (Elmore, 2003; Green, 2010; Green, 2013).

Leadership is strengthened and leadership initiatives succeed best when we recognize that process is usually trumped by substance. Successful school leaders, for example, bring both to their practice, but in the end, these leaders know that while how we do things is important, what we do is even more important. This is the leadership theme that is discussed in the next section.

Followership Is the Goal

The importance of purposing to leadership changes how it is understood and practiced. With purposing in place in a school, one cannot become a leader without first becoming a follower. The concept of followership will be discussed further in Chapters 6, 7, and 8. What it means to be a follower and what it means to be a subordinate are very different. Subordinates respond to bureaucratic authority and sometimes to personal authority. Followers, by contrast, respond to ideas. You cannot be a follower unless you have something to follow. Furthermore, as Zaleznik (1989) suggests, subordinates may cooperate with the management system but are rarely committed to it. By contrast, one of the hallmarks of being a follower is commitment. True followers are committed individuals. They develop their **craft knowledge**, become competent, and focus their efforts for maximum impact in support of the purpose and principles of the organization. They accept the notion that in some instances there is a cause greater than self (Kelly, 1988). Followers, by definition, are never constrained by minimums but are carried by their commitment to performance that typically exceeds expectations. Subordinates, by contrast, do what they are supposed to; they tend not to do more.

When subordinateness is transcended by followership, a different kind of hierarchy emerges in the school. Principals, teachers, students, parents, and others find themselves equally "subordinate" to a set of ideas and shared conceptions to which they are committed. As a result, teachers respond and comply, not because of the principal's directives, but out of a sense of obligation and commitment to these shared values. That is what it means to be a follower.

The principal's job is to provide the kind of purposing to the school that helps followership to emerge. The principal then provides the conditions and support

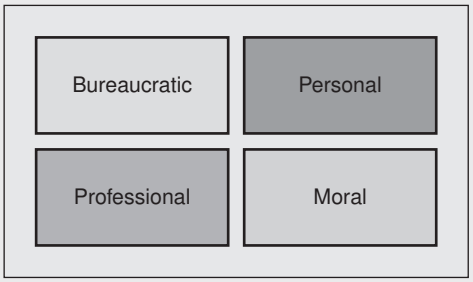
that allow people to function in ways that are consistent with agreed-upon values. At the same time, the principal has a special responsibility to continually highlight the values, to protect them, and to see that they are enforced. The true test of leadership under these conditions is the principal's ability to get others in the school to share in the responsibility for guarding these values. This litany of roles will be discussed in the text as leadership by purposing, empowerment and enablement, outrage, and finally, kindling outrage in others.

Balancing Authority

One of the persistent problems of administration is obtaining compliance, which is at the heart of the principal's role. Invariably, compliance occurs in response to some sort of authority, but not all sources of authority are equally powerful or palatable. In this text, four sources of authority will be discussed: bureaucratic, personal, professional, and moral; see Exhibit 1.3. All four have a role to play if schools are to function effectively; however, the four compete with one another. When principals use bureaucratic authority, they rely on rules, mandates, and regulations in efforts to direct thought and action. When principals use personal authority, they rely on their own interpersonal style, cleverness, guile, political know-how, and other forms of managerial and psychological skill in order to direct thought and action. When principals rely on professional authority, they appeal to expertness, expecting everyone to be subordinate to a form of technical rationality that is presumably validated by craft notions of what constitutes best educational practice or scientific findings from educational research. When principals rely on moral authority, they bring to the forefront a form of normative rationality that places everyone subordinate to a set of ideas, ideals, and shared values and asks them to respond morally by doing their duty, meeting their obligations, and accepting their responsibilities. All of the sources of authority are important, but the art of administration is balancing the four in such a way that moral and professional authority flourish without neglecting bureaucratic and personal authority.

exhibit 1.3

Four Sources of Authority



The Challenge of Leadership: Balancing the Managerial and the Moral

In the principalship, the challenge of leadership is to make peace with two competing imperatives: the managerial and the moral. The two imperatives are unavoidable, and the neglect of either creates problems. Schools must be run effectively and efficiently if they are to survive. Policies must be in place. Budgets must be set; teachers must be assigned; classes must be scheduled; reports must be completed; standardized tests must be given; supplies must be purchased; the school must be kept clean; students must be protected from violence; and classrooms must be orderly. These are essential tasks that guarantee the survival of the school as an organization. Yet, as DuFour and DuFour (1998) remind us, for the school to transform itself from an organization into an institution, a learning community must emerge. Institutionalization is the moral imperative that principals face.

Discussing the moral imperative in administration; proposing such leadership values as purposing, empowerment, outrage, and kindling outrage in others; and arguing for the kind of balance among bureaucratic, psychological, professional, and moral sources of authority in schools that noticeably tilts toward professional and moral all challenge the "professional manager" conception of the principalship by placing concerns for substance firmly over concerns for process.

On the upside, the development of school administration as a form of management technology brought with it much needed attention to the development of better management know-how and of organizational skills badly needed to deal with an educational system that continues to grow in technical, legal, and bureaucratic complexity. On the downside, professionalism has too often resulted in principals thinking of themselves less as statespersons, educators, and philosophers, and more as organizational experts who have become absorbed in what Abraham Zaleznik (1989) refers to as the *managerial mystique.* "As it evolved in practice, the mystique required managers to dedicate themselves to process, structures, roles, and indirect forms of communication and to ignore ideas, people, emotions, and direct talk. It deflected attention from the realities [of education] while it reassured and rewarded those who believed in the mystique" (p. 2). The managerial mystique holds so strongly to the belief that "the right methods" will produce good results that the methods themselves too often become surrogates for results, and to the belief that management and bureaucratic controls will overcome human shortcomings and enhance human productivity that controls become ends in themselves. School improvement plans, for example, become substitutes for school improvements; scores on teacher appraisal forms become substitutes for good teaching; accumulating credits earned in courses and required professional development workshops become substitutes for changes in school practice; discipline plans become substitutes for student control; leadership styles become substitutes for purpose and substance; congeniality becomes a substitute for collegiality; cooperation becomes a substitute for commitment; and compliance becomes a substitute for results.

Zaleznik (1989) maintains that the managerial mystique is the antithesis of leadership. The epitome of the managerial mystique is the belief that anyone who can manage one kind of enterprise can also manage any other kind. It is the generic management techniques and generic interpersonal skills that count, rather than issues of purpose and substance. Without purpose and substance, Zaleznik argues, there can be no leadership. "Leadership is based on a compact that binds those who lead and those who follow into the same moral, intellectual and emotional commitment" (p. 15).

The Lifeworld of Schooling

Everyone wants good schools—an aspiration shared by people in all walks of life. Few would disagree that we should be able to identify the good schools we have now, to learn from them, and to increase their number. Further, most people believe that providing schools and their publics with information as to where they are now, given their own goals and aspirations and the goals and aspirations of the state, is a reasonable idea. Schools need this information to plan the next steps, new directions, and other initiatives on the road to improvement. However, it is not likely that any of these things will happen unless our schools are involved at the ground floor in standards and assessment. Ground-floor involvement of each school means having a good, practical, broad, realistic, and lifeworld-serving definition of what is a good school in the first place.

The term *lifeworld* needs some explaining (see, e.g., Sergiovanni, 2000). Borrowing from the philosopher and sociologist Jurgen Habermas (1987), we might think of the **lifeworld** as a school's local values, traditions, meanings, and purposes. In the best of circumstances, the lifeworld determines and legitimizes local initiatives aimed at achieving a school's own destiny (Sergiovanni, 2000). The lifeworld includes the traditions, rituals, and norms that define a school's culture. Lifeworlds differ as we move from school to school, and these differences lay the groundwork for developing a school's unique character. As character builds, the capacity of a school to serve the intellectual, social, cultural, and civic needs of its students increases. School character helps schools be more effective. *Effectiveness* is broadly defined as achieving higher levels of pedagogical thoughtfulness, developing relationships characterized by caring and civility, and achieving increases in the quality of student performance on both conventional and alternative assessments.

The evidence from a wide variety of sources (i.e., Block, 2008; Bryk, Lee, & Holland, 1993; Coleman & Hoffer, 1987; DuFour et al., 2006; Evans, 2012; Hill, Foster, & Gendler, 1990) leads to the conclusion that schools that function as focused communities where unique values are important, schools where caring for one another is the norm, schools where academic matters count, and schools where **social covenants** are established that bring parents, teachers, students, and others together in a shared commitment to the common good are able to use the values of the lifeworld and to get surprisingly good results. Evans (2012) states it in this manner:

"Teachers are not deliverers of highly scripted, linear, instructional sequences: they are skillful, adaptive improvisers who must be able to modify a lesson plan on the fly whenever necessary" (p. 104). This link between the lifeworld of a school and that school's effectiveness establishes local authority as a necessary ingredient in any school effectiveness equation.

More Than Effective

It is much easier to identify what is an "effective" school than to struggle with a deeper definition of what is a "good" school. Sara Lawrence Lightfoot's research, reported in her book *The Good High School* (1983), is an example of searching for a more meaningful and expansive definition of effectiveness. She provided portraits of six very different but very good high schools. What emerges from her seminal study is that a single list of indicators for a good school is not so easily achieved. She found that good schools have invented ways to serve different neighborhoods effectively, contain a diverse mix of goals and purposes, and use unique ways to achieve these goals and purposes. More recent research (Clifford, Menon, Gangi, Condon, & Hornung, 2012; Thapa, Cohen, Higgins-D'Alessandro, & Guffey, 2012) supports the work of Lightfoot, offering findings revealing similar key indicators of good schools. Further, good schools have principals who provide a unique blend of leadership strategies and styles. Goodness is about the kind of wholeness and purpose and the kind of responsiveness to unique characteristics and needs that contribute to school character. Goodness builds from and grows from what a particular school and its community values. The lifeworld of a school, not externally imposed organizational structures or outside mandates, is the key to this broader view of effectiveness.

BUILDING THE CHARACTER OF YOUR SCHOOL

One of the major themes of this text is the importance of a school's culture. For better or for worse, culture influences much of what is thought, said, and done in a school. Character is a concept similar to culture but much less neutral. A school's character is known by how the school is viewed by members and outsiders in ethical and moral terms. Building and enhancing the school's character is the key to establishing its credibility among students, teachers, parents, and administrators and externally in the broader community. Wilkins (1989) notes that the components of an organization's character are its common understandings of purpose and identity that provide a sense of "who we are"; faith of members in the fairness of the leadership and in the ability of the organization to meet its commitments and to get the job done; and the distinctive cultural attributes that define the tacit customs, networks of individuals, and accepted ways of working together and of working with others outside of the organization. How reliable are the actions of the school? How firm is the school in its convictions? How just is its disposition? Wilkins points out that purpose, faith, and

cultural attributes "add up to the collective organizational competence" (1989, p. 27). To him, faith is a particularly important component of an organization's character, and loss of faith in either the organization or its leadership results in loss of character. Building faith restores character. Enhancing faith increases character. Without faith and character, the organization and its members are not able to move beyond the ordinary to extraordinary performance. With faith, such a transformation is possible. No matter how relentlessly principals pursue their managerial imperative, reliability in action, firmness in conviction, and just disposition are the consequences of the moral imperative. Without tending to the moral imperative, there can be no organizational character, and without character, a school can be neither good nor effective (Sergiovanni, 2000, 2005).

A COMMITMENT TO DEMOCRATIC VALUES

The inescapable moral nature of administrative work and, in particular, seeking to establish moral authority embodied in the form of purposing and shared values and expressed as **cultural leadership** raises important questions of manipulation and control. Cultural leadership can provide principals with levers to manipulate others that are more powerful than the levers associated with bureaucratic and psychological authority. Lakomski (1985) raises the question squarely:

> To put the objection more strongly, it may be argued that if all cultural analysis does is to help those in power, such as principals and teachers, to oppress some students more effectively by learning about their views, opinions, and "student cultures," then this method is just another and more sophisticated way to prevent students (and other oppressed groups) from democratic participation in educational affairs. (p. 15)

Her comments apply, as well, to teachers and others. Furthermore, cultural leadership can become a powerful weapon for masking the many problems of diversity, justice, and equality that confront schools. There is nothing inherently democratic about cultural leadership, and, indeed, depending on its substance, this kind of leadership can compromise democratic values. Consensus building and commitment to shared values can often be little more than devices for maintaining an unsatisfactory status quo and for discouraging dissent. Finally, not all covenants are equal. The values that define the "center" of different school communities are not interchangeable.

Cultural leadership can be understood and practiced as a technology available to achieve any goal and to embody any vision or as a means to celebrate a particular set of basic values that emerge from the American democratic tradition. It makes a difference, for example, whether the basic values that define a school community revolve around themes of efficiency, effectiveness, and excellence or whether these are considered to be mere means-values in service to

such ends-values as justice, diversity, equality, and goodness. In the spirit of the latter point of view, Clark and Meloy (1984) propose the Declaration of Independence as a metaphor for managing schools to replace bureaucracy. This metaphor guarantees to all persons that school management decisions will support such values as equality, life, liberty, and the pursuit of happiness based on the consent of the governed.

Discussion of democracy in schools typically wins nods from readers. However, as Quantz, Cambron-McCabe, and Dantley (1991) point out, democracy is not always understood as both process and substance:

> There is often a confusion of democracy with pure process—the belief that as long as there is some form of participatory decision-making that democracy has been achieved. We argue, however, that democracy implies both a process and a goal, that the two, while often contradictory, cannot be separated. We believe that democratic processes cannot justify undemocratic ends. For example, we cannot justify racial and gender inequity on the basis that the majority voted for it. While this dual-reference test for democracy is not simple or clean, while it often requires us to choose between two incompatible choices, both in the name of democracy, we can conceive of no other way to approach it. In other words, even though an appeal to democratic authority cannot provide a clear and unequivocable blueprint for action in every particular instance, it can provide a general and viable direction for intelligent and moral decision-making by school administrators. (p. 6)

One of the challenges of moral leadership in schools is to engage oneself and others in the process of decision making without thought to self-interest. Can we discuss and decide our grading policies, discipline procedures, student grouping practices, supervisory strategies, and so forth without regard to whether we will be winners or losers? Sending children routinely to the principal's office for discipline, for example, or favoring homogeneous grouping of students may be in the interest of teachers but not students. Requiring all teachers to teach the same way may make it easier for the principal to hold teachers accountable, but not for teachers who want to teach in ways that make sense to them. Discouraging parental involvement in school governance makes for fewer headaches for school people but disenfranchises the parents. What is just under these circumstances? John Rawls (1971) has suggested that decisions such as these should be made by people choosing in a hypothetical position of fairness under what he called "a veil of ignorance." The idea is to pretend that we don't know anything about ourselves—our sex, our race, our position in the school, our talents, and so forth. We don't know, in other words, whether we are black or white, principal or teacher, student or custodian, parent or teacher aide. Our identities are only revealed when the veil of ignorance is lifted. Rawls maintains that in this way, we are likely to fashion our principles and make decisions regardless of who we turn out to be. With bias diminished, chances are that the principles would be fairer and the decisions more just.

TIME, FEELING, FOCUS

Anyone aspiring to the principalship had better have a strong commitment to work. This assertion should perhaps be modified as follows: Anyone who is aspiring to be a *successful* principal had better have a strong commitment to work. Success has its price. Consider, for example, the following statement:

> A passion for excellence means thinking big and starting small: excellence happens when high purpose and intense pragmatism meet. This is almost, but not quite, the whole truth. We believe a passion for excellence also carries a price, and we state it simply: the adventure of excellence is not for the faint of heart.
>
> Adventure? You bet. It's not just a job. It's a personal commitment. Whether we're looking at a billion-dollar corporation or a three-person accounting department, we see that excellence is achieved by people who muster up the nerve (and the passion) to step out—in spite of doubt, or fear, or job description—to maintain face-to-face contact with other people, namely customers and colleagues. They won't retreat behind office doors, committees, memos or layers of staff, knowing this is the fair bargain they make for extraordinary results. They may step out for love, because of a burning desire to be the best, to make a difference, or perhaps, as a colleague recently explained, "because the thought of being average scares the hell out of me." (Peters & Austin, 1985, p. 414)

In studies of high-performing leaders and their efforts to transform schools several factors are revealed (Brown, 2012; Green, 2010; Vaill, 1984). High-performing leaders know and understand their followers; put in extraordinary amounts of time; share leadership tasks with others; have very strong feelings about the attainment of the system's purposes; are actively and collaboratively engaged with curriculum and instruction; form numerous formal and informal interrelationships; and focus on key issues and variables (Brown, 2012; Green, 2010; Vaill, 1984). In summary, they spend time on the tasks, have feelings about people, and focus. These three areas appear no matter what else appears; they go hand in hand (Vaill, 1984). By putting in large amounts of time, high-performing leaders demonstrate that they are not afraid of hard work; however, they do not dissipate this time by taking on everything. Instead, they concentrate their efforts on those characteristics and values that are clearly more important to the success of their organization than are others. Furthermore, unlike cold, calculated, objective, and uninvolved managers, they bring to their enterprises a certain passion that affects others deeply.

As a result of his extensive studies of the principalship and school leadership, Greenfield (1985) concludes that principals need to be more passionate about their work, clearer about what they seek to accomplish, and more aggressive in searching for understandings that lead to improved schooling. Greenfield speaks of passion as "believing in the worth of what one seeks to accomplish and exhibiting in one's daily action a commitment to the realization of those goals and purposes"

(p. 17). He maintains that clarity about goals and outcomes should be accompanied by a commitment to flexibility regarding processes, procedures, and other means to attain ends.

More recent researchers, Colvin (2007), Hess and Kelly (2007), Leithwood, Louis, Anderson, and Wahlstrom (2004), and Portin (2004), describe the principal as a manager of personnel, manager of students, manager of external development, manager of finances, developer of long-term plans, influencer of both state- and community-level perceptions of the school, and the instructional leader in charge of curriculum and academic performance. Among these, there is empirical evidence that **instructional leadership** is the most important responsibility of the principal (Leithwood et al., 2004).

Finally, anyone who is aspiring to be a good principal needs to have some sense of what she or he values, something to be committed to, a compass to help navigate the way—a personal vision. Green (2010) points out:

> As school leaders strive to facilitate the interaction of individuals and groups in schools, they are challenged by many different situations and personalities. To address those challenges, they need an in-depth understanding of themselves and the individuals they lead. Understanding one's strengths, beliefs, values, and other personal qualities enables one to establish a clear vision of purpose and acquire knowledge of how one's behavior influences the behavior of others. With this knowledge and understanding, school leaders are able to suspend assumptions, refrain from making broad generalizations, and balance the inward forces of their personal values and beliefs with the outward display of their behavior. (p. 25)

From his studies of leadership, Barth (1990) states it this way:

> Observers in schools have concluded that the lives of teachers, principals, and students are characterized by brevity, fragmentation, and variety. During an average day, for instance, a teacher or principal engages in several hundred interactions. So do many parents. A personal vision provides a framework with which to respond and to make use of the many prescriptions and conceptions of others. But more important, these ideas centered around schools as communities of learners and leaders have provided me with a road map which has enabled me to respond to the hundreds of daily situations in schools . . . in a less random and more thoughtful way. Without a vision, I think our behavior becomes reflexive, inconsistent, and shortsighted as we seek the action that will most quickly put out the fire so we can get on with putting out the next one. In five years, if we're lucky, our school might be fire free—but it won't have changed much. Anxiety will remain high, humor low, and leadership muddled. Or as one teacher put it in a powerful piece of writing, "Without a clear sense of purpose we get lost, and our activities in school become but empty vessels of our discontent." Seafaring folk put it differently: "For the sailor without a destination, there is no favorable wind." (p. 211)

Servant Leadership

One of the great secrets of leadership is that, before one can command the respect and followership of others, one must demonstrate devotion to the organization's purposes and commitment to those in the organization who work day by day on the ordinary tasks that are necessary for those purposes to be realized. As Greenleaf (1977) points out, people "will freely respond only to individuals who are chosen as leaders because they are proven and trusted as servants" (p. 10). This perspective has come to be known as *servant leadership* (Greenleaf, 1977).

Servant leadership describes well what it means to be a principal. Principals are responsible for "ministering" to the needs of the schools they serve. The needs are defined by the shared values and purposes of the school's covenant. Principals minister by furnishing help and being of service to parents, teachers, and students. They minister by providing leadership in a way that encourages others to be leaders in their own right. They minister by highlighting and protecting the values of the school. The principal as minister is one who is devoted to a cause, mission, or set of ideas and accepts the duty and obligation to serve this cause. Ultimately, her or his success is known by the quality of the followership that emerges. Quality of followership is a barometer that indicates the extent to which moral authority has replaced bureaucratic and psychological authority. Greenleaf (1977) states it in this manner:

> Every achievement starts with a goal—but not just anybody starting it. The one who starts the goal must elicit trust, especially if it is a high risk or visionary goal, because those who follow are asked to accept the risk along with the leader. Leaders do not elicit trust unless one has confidence in their values and competence (including judgment) and unless they have a sustaining sprit (entheos) that will support the tenacious pursuit of a goal. (p. 414)

When moral authority drives leadership practice, the principal is at the same time a leader of leaders, follower of ideas, minister of values, and servant to the followership.

To acquire a descriptive summary of the contents of this chapter and to hear the opinion of one educator's view of administering as a moral craft, view this video.

End of Chapter Activities

Acquiring an Understanding of Self

Directions: To deepen your understanding of the content materials presented in this chapter and to reflect on how your ideas, values, and beliefs align with the material, read each of the following questions or statements. Then, develop a response to each question or statement. In developing your responses you may find it helpful to review select sections of chapter content material.

1. As a principal, how will you acquire power and control? What actions might you take to ensure followers that this power and control will not be exploited?
2. Discretion is necessary if a principal is to have the flexibility to effectively administer a school. How might a principal handle discretion and avoid moral consequences?
3. What do you believe about schools, people, and society in general?
4. What is your personal vision of leadership for schools of today and tomorrow?
5. Reflecting on a major decision that you have made during the past year, identify the processes embedded in the decision that led to a successful outcome.
6. What do you consider moral imperatives for today's schools?
7. What do you use to make a determination if you favor what is good, what makes sense, and what is worth doing as opposed to prizing effectiveness and efficiency?
8. How committed are you to becoming a successful school principal? Generally speaking, commitment to one's present job provides a good idea of one's overall commitment to work. How committed are you to your present job? For an indication of your present job commitment, respond to the Job Commitment Index in Exhibit 1.4. This index contains 16 items about how people

exhibit 1.4

Job Commitment Index

Responses: 4—Strongly Agree, 3—Agree, 2—Disagree, 1—Strongly Disagree

	1	2	3	4
1. Most of the important things that happen to me involve my work.	___	___	___	___
2. I spend a great deal of time on matters related to my job, both during and after hours.	___	___	___	___
3. I feel badly if I don't perform well on my job.	___	___	___	___
4. I think about my job even when I'm not working.	___	___	___	___
5. I would probably keep working even if I didn't have to.	___	___	___	___
6. I have a perspective on my job that does not let it interfere with other aspects of my life.	___	___	___	___
7. Performing well on my job is extremely important to me.	___	___	___	___
8. Most things in my life are more important to me than my job.	___	___	___	___
9. I avoid taking on extra duties and responsibilities in my work.	___	___	___	___
10. I enjoy my work more than anything else I do.	___	___	___	___
11. I stay overtime to finish a job even if I don't have to.	___	___	___	___
12. Sometimes I lie awake thinking about the next day's work.	___	___	___	___
13. I am able to use abilities I value in doing my job.	___	___	___	___
14. I feel depressed when my job does not go well.	___	___	___	___
15. I feel good when I perform my job well.	___	___	___	___
16. I would not work at my job if I didn't have to.	___	___	___	___

Source: The Job Commitment Index is generally adapted from the Occupational Commitment Scale developed by Becky Heath Ladewig and Priscilla N. White, Department of Human Development and Family Life, University of Alabama.

feel about their jobs. Indicate the extent to which you agree or disagree with each item. As you count your score, reverse-score items 6, 8, 9, and 16. Your score will range from a low of 16 to a high of 64, with 64 representing the highest level of commitment. Keep in mind that there is always the chance that a person's commitment to work may be high, but that her or his present job presents such unusual difficulties that low commitment and a low score result. How would your principal respond to this index?

SCENARIO ANALYSIS

Directions: In the scenario, selected concepts from the chapter are used in a practical situation. Following the scenario is a list of questions. After reading the scenario, develop a response to each of the questions. If you discover that a question is challenging, you may find it beneficial to reread sections of the chapter to acquire the suggested response.

REFLECTIVE PRACTICE AT TRI-STATE HIGH SCHOOL: A MORAL IMPERATIVE

Understanding Self and Others

Tri-State High School is considered one of the prominent public high schools in the country. The school's academic programs consist of resource, general, honors, and advanced placement offerings. Each year, the school produces a number of National Merit Scholars and according to a national news magazine, it is rated as one of the best-performing high schools in the United States. This accolade is given to less than 7% of all high schools across the country.

Entry into the honors program is based on a lottery. Because of the school's reputation for academic achievement in honors classes, parents have been known to camp out at the Board of Education for days in hopes of getting their children enrolled.

Principal Pettis has been very instrumental in building this well-respected academic community. She is largely responsible for the unique reputation of the school. Her strengths include securing resources that serve to enrich the school's strong academic programs, and hiring and retaining high-performing faculty members, specifically within the honors and advanced placement courses. At least 89% of the teaching faculty teaching these courses has National Board certification or an advanced degree. She also engages in personal professional development as evidenced by her keen understanding of the rigorous standards associated with student growth and achievement. Principal Pettis has often presented at conferences

on how to build an effective honors academic program. As a result, each year students in the graduating class receive a large number of scholarships from Ivy League schools.

Relative to its academic standing, for many years the school has rested on the laurels of the honors and advanced placement programs. In years past, the achievement scores of students in these programs were responsible for the school's strong academic presence. During the current academic school year, the state Department of Education announced a new method of rating the performance of schools. The new method requires schools to be evaluated based on student growth and achievement. Principals are now required to show growth within various student groups, such as those who are economically disadvantaged, enrolled in resource classes, and fit profiles of various ethnic groups. The principal of each school is required to close the performance and achievement gaps between groups of students who traditionally perform well academically and those who do not. Many of the students who attend Tri-State High are not enrolled in the honors or advanced classes. The neighborhood students comprise at least 60% of the total tested population within the school. In years past, this percentage of students has not performed well on the state's achievement tests. However, because of the method used, they did not impact the rating of the school.

In an effort to educate stakeholders on the revised state testing expectations, Principal Pettis hosted a community meeting and disseminated information on the new standards. During the meeting, a parent of a student enrolled in the general education program brought to the administration's attention that many of his son's teachers did not have the same credentials as those who taught honors and advanced placement courses. Also, he noted the high turnover rate of substitute teachers in at least two of his son's classes. Exacerbating this situation, he explained, was the perceived lack of concern of teachers and administrators whenever he attempted to discuss his son's lack of progress. He went on to point out that his son did not have sufficient engagement with the eleventh-grade counselor relative to making plans to enter college. In addition, he shared the achievement test results for his son that he had compiled over the last three years and noted that due to his unexceptional performance on tests, it appeared as though his son's trajectory toward being prepared for college looked grim.

After the meeting, Principal Pettis sat alone in her office and reflected about the investments that she had made over the years in the school's honors and advanced placement programs. Though her intent had never been to neglect the needs of any student, it was obvious that this was exactly what had occurred.

Reflective Questions and Scenario Analysis

1. How would you describe Principal Pettis's heart?
2. If a challenge exists at Tri-State, is the challenge the result of the heart, hand, head of leadership, or a combination of the three?

3. What is the moral imperative that looms large at Tri-State High School?
4. As Principal Pettis engages in reflective practice, what are some factors that are likely to surface?
5. What steps would you take to strengthen the heartbeat of the school?
6. In the leadership of Principal Pettis, which of the 13 core competencies appear to be missing? Defend your response with content from the chapter.

Self-Check Quiz Now that you have studied the material in this chapter, **click here** to take a quiz.