The Pearson Educational Leadership Series

THE PRINCIPAL

Creative Leadership for Excellence in Schools

UPDATED EIGHTH EDITION

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EIGHTH EDITION

The Principal

Creative Leadership for Excellence in Schools

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PREFACE

This eighth edition of *The Principal* continues to reflect the evolution in the roles of educational leaders and the mounting demands to rewrite their job descriptions every year. Increased tasks in areas such as instructional leadership, data analysis, technology utilization, staff evaluation, and community relations are requiring principals to expand their toolbox of skills.

New to this Edition

To keep pace with the changing times, we have enhanced this edition in the following ways:

- The Professional Standards for Educational Leaders (2015) (PSEL) are fully integrated into the book with margin arrows referencing the Standards to particular paragraphs. The new list of ten Standards is included.
- Greatly increased the use of digital internet so the educational leaders of tomorrow can, without a professional library nearby, have access to the many reference materials available online.
- The decision-processing and decision-making chapter has had a major make-over drawing on the work of Hodgkinson and Herrmann to identify the elements of decision making and then linking the process to the work of Starratt for an ethical perspective on decision making.
- Systematic planning has been updated using the new AdvancED accreditation model with new examples of school mission and goal statements.
- The new curriculum chapter addresses the "Standards Movement" of recent years and how standards such as the common Core are impacting our Schools. The Standards approach is analyzed through the lens of four different curriculum theories—technological, academic, humanistic, and social reconstructionist.
- The student achievement chapter considers the impact of technology on teaching and student learning such as the "flipped classroom." The chapter also reviews new approaches to address issues of individual differences such as response to intervention (RTI).
- The special education chapter addresses new policy changes since the last edition as well as the impact of new student identification procedures. RTI and its impact on special education is also reviewed.
- Professional development as addressed in Chapter 9 has a very different look from only a few years ago. Two factors are driving the change. The first is the movement to professional learning communities and the need for highly individualized professional development. And the second is the use of technology to deliver professional development via Web-based sites like YouTube and TeacherTube.
- The chapter on human resource development includes a new section on employment interviews, the new significance of teacher evaluation, and the changing tenure laws for many states.

- "Staffing the School" has an expanded reference to professional learning communities and how to organize a staff to facilitate their functionality.
- The development of a good school schedule can be greatly aided with the use of a good computer scheduling package. Several generic suggestions are made for the selection of scheduling software. The scheduling chapter also suggests way to build new instructional approaches such as RTI into the schedule.
- Technology is always rapidly evolving, and so our technology for administrators chapter always needs major enhancements. The big changes for this edition deal with how to use social networks in school and what are their dangers, and the impact of BYOD (Bring Your Own Device) to school.
- The use of social networks such as Facebook and Twitter as well as rapid communication devices to allow robo-phone calls to our parents' homes is rapidly changing how we communicate with our communities. How do we use them wisely?
- School safety is addressed with discussion of controlled building entry, the use of a school security officer (SRO), and Internet-based security cameras with mobile device access.

Professional Standards for Educational Leaders (2015)

Clear and consistent standards can help guide the way for administrator preparation programs and for administrators who are growing in their careers. Standards give leaders the tools they need to meet new demands. The National Policy Board for Educational Administration, a consortium of professional organizations committed to school leadership coordinated the efforts to develop the new set of standards updating the ISLLC Standards of 2008. The Professional Standards for Educational Leaders (2015) (PSEL) cluster around three themes:

- Curriculum, Instruction and Assessment, and Community of Care and Support for Students.
- Professional Capacity of School Personnel, Professional Community for Teachers and Staff, Meaningful Engagement of Engagement of Families and Community, and Operations and Management.
- Mission, Mission and Core Values, Ethics and Professional Norms, and Equity and Cultural Responsiveness.

Finally, the theme of School Improvement influences all three themes and how educational leader practice influences student achievement.

In order to better represent the broad range of knowledge, skills, and concepts expected through these standards, the new PSEL 2015 standards increase from six to ten the number of standards to better reflect the evolving role of school leaders. The standards reflect an emphasis on the considerable power that schools have to improve the lives of students.

This edition of *The Principal* once again includes margin notes referencing the more critical PSEL 2015 standards for each chapter subsection to help readers relate the concepts of the book to the standards.

Adopters of the textbook can access a password-protected site, pearsonhighered.com, to use the Test Bank and Powerpoint presentations developed by the authors to assist instructors teaching the course. (Contact your local publisher's representative.)

The Principal continues to be based on the research about linkages between school leadership and productive schools, especially in terms of outcomes for children and youth. It supports the understandings that formal leadership in schools is a complex, multifaceted task that requires continual learning and that effective school leaders must be strong educators anchoring their work on the central issues of learning, teaching, and school improvement. School leaders must also be moral agents and social advocates for the students and communities they serve. Additionally, they must make solid connections with stakeholders, empowering them to create learning communities that value and care for others as individuals and as members of the educational community.

The efforts of PSEL 2015 committee have moved standards to the next level to form a framework that provides an excellent base for the organization of school leader preparation programs. The new PSEL 2015 standards focus on the key issues that form the heart and soul of effective leadership. Constant attention is given to issues of learning and teaching and the creation of powerful learning environments. Each standard is supported by a framework of functions that provide greater specificity to each standard. A list of the ten standards is located in Appendix B while a complete list of the standards along with the elements which elaborate the work that is necessary to meet the Standard can be found at the National Policy Board website http://www.npbea.org or on the websites of member organizations. It is recommended that each reader of this textbook download a complete set of the PSEL standards in order to have a list of the elements and bibliography that accompanies them.

The Principal is keyed to the new PSEL 2015 standards with margin references, end of chapter activities, and case study themes.

Content Organization

This book is organized into four parts centered on the PSEL 2015 Standards developed specifically for school leaders. Each of the four major parts of the book is framed with two or more of the standards as its major themes but margin references for all the standards are placed throughout the book.

Part One: Creating a Vision of Leadership and Learning

The Professional Standards for Educational Leaders (2015) addressing the topics of Mission, Vision and Core Values; Ethics and Professional Norms; Community of Care and Support for Students; Professional Community for Teachers and Staff; and School Improvement are directly addressed in Part One.

Part Two: Developing a Positive School Culture

The Professional Standards for Educational Leaders (2015) addressing the topics of Equity and Cultural Responsiveness; Curriculum, Instruction, and Assessment; Professional Capacity of School Personnel; and Meaningful Engagement of Families and Community are directly addressed in Part Two.

Part Three: Managing the Organization

The Professional Standards for Educational Leaders (2015) addressing the topics of Curriculum, Instruction, and Assessment; Professional Capacity of School Personnel; Professional Community for Teachers and Staff; and Operations and Management are directly addressed in Part Three.

Part Four: Interacting with the External School Environment

The Professional Standards for Educational Leaders (2015) addressing the topics of Mission Vision, and Core Values; Community of Care and Support for Students; Meaningful Engagement of Families and Community; and School Improvement are directly addressed in Part Four.

We continue to try to put a proper balance between two covers of the book so that aspiring and practicing administrators may find intellectual challenge as well as cause to reflect on what, with effort and analysis, "might be." It is our hope that we have provided good balance between the theoretical and the practical and the bridge that connects them.

Thank you to the following reviewers: Frank D. Adams, Wayne State College; Jessica Garrett-Staib, University of Texas of the Permain Basin; Kristine Servais, North Central College; Linda Sloat, University of Illinois, Urbana-Champaign. As before, we continue to hope that the readers will find this book to be useful now and on the job. Let us know.

PART ONE

Creating a Vision of Leadership and Learning

The school leaders of the twenty-first century must have knowledge and understanding of the purpose of education and the role of leadership in modern society as well as various ethical frameworks and perspectives on ethics, the values of the diverse school community, professional codes of ethics, and the philosophy and history of education. They should also believe in, value, and be committed to the ideal of the common good, the principles in the Bill of Rights, the right of every student to a free quality education, bringing ethical principles to the decision-making process, subordination of one's own interest to the good of the school community, accepting the consequences for upholding one's principles and actions, using the influence of one's office constructively and productively in the service of all students and their families, and development of a caring school community.

Likewise, the educational leader must have knowledge and understanding of the goals of learning in a pluralistic society; the principles of developing and implementing strategic plans; systems theory; information sources, data collection, and data analysis strategies; effective communication; and effective consensus-building and negotiation skills. They must also believe in, value, and be committed to the educability of all; a school vision of high standards of learning; continuous school improvement; the inclusion of all members of the school community; ensuring that all students have the knowledge, skills, and values needed to become successful adults; a willingness to continuously examine one's own assumptions, beliefs, and practices; and doing the work required for high levels of personal and organization performance. The Professional Standards for Educational Leaders 2015) specifically addressed in Part One include:

Standard One - Mission, Vision, and Core Values.
Standard Four - Curriculum, Instruction, and Assessment.
Standard Six - Professional Capacity of School Personnel.
Standard Ten - School Improvement.

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CHAPTER

1 The Principal

A Creative Blend of Substance and Style

Leadership, in the final analysis, is the ability of humans to relate deeply to each other in the search for a more perfect union. Leadership is a consensual task, a sharing of ideas and a sharing of responsibilities, where a "leader" is a leader for the moment only, where the leadership exerted must be validated by the consent of followers, and where leadership lies in the struggles of a community to find meaning for itself.

—William Foster[1]

The role of the school principal has evolved considerably since the days of the little red schoolhouse. Currently, it is cast under the umbrella of *school improvement* and carries with it enormous moral and ethical challenges to build community among diverse and ever-changing populations.

School improvement, fueled by the No Child Left Behind legislation and enhanced even more by the recent emphasis on the common core curriculum, presents a dual role for the school principal. First, principals must be accountable for the academic progress of all students entrusted to their care. Second, they must facilitate the social and emotional development of all students regardless of age, race, creed, or intellectual capacity. These combined roles constitute a moral obligation, which Fullen[2] suggests means "making a difference in the life chances of all students—more of a difference for the disadvantaged because they have further to go."

PSEL 1

The principal must foster a climate of collegial support and community through which this complex task of administering the school might be accomplished. Community requires task commitment as well as a deep and abiding relationship with all stakeholders that sustains task and encourages a working atmosphere conducive to enriched learning. Leading

from this perspective requires that the leader nurture rather than coerce and challenge rather than direct such tasks.

The principal, then, is the pivotal point—the catalyst—for what happens in the school. Principals must face their conceptual, human, and technical[3] obligations with courage and dedication. Being a principal is a challenging, yet rewarding, task for those willing and prepared to accept the position.

In this chapter, we present the principal as an instructional leader and address the roles and responsibilities of the principal's position. The chapter discusses the context in which the role is enacted, the individual within the role, and the nature of the role within the context.

Social Systems Theory

We begin our discussion of the roles and responsibilities of the school principal by considering the individual and institutional forces that help shape that role. The social systems theory of Getzels and Guba[4] reflects the interplay of these forces. Essentially, the theory posits two dimensions to the organization: the nomothetic (institutional) dimension and the idiographic (personal) dimension.

Institution refers to the organization and its necessary functions that must be carried out according to certain expectations. *Roles* are the official positions and offices that have been established to accomplish the organization's purpose and functions. The behaviors that comprise a role are called *role expectations.* Every role has certain normative responsibilities, and these will differ by role. It is the interaction of the institutional and idiographic dimensions within the various roles that results in the observed behavior of individuals in the organization.

It is essential that principals understand the role expectations of their positions and that they are aware of their own personality dimensions and needs dispositions. They must, then, consider how these factors might shape their particular role expectations and influence their behavior within the principalship role. They must also be cognizant of other roles within the organization and how personal as well as institutional expectations affect those roles.

Personality in the context of the social systems model may be defined as the "dynamic organization within an individual of those 'needs-dispositions' that govern his [or her] unique reactions to the environment."[5] In other words, each individual is a complex of previous experiences that have provided him or her with differing orientations to life, to organizations, and to other people. These experiences affect a person's sense of what is pleasurable, important, and real. These experiences determine the expectations that the principal and other organizational members bring to their roles.

The challenge is to address both individual and organizational needs to achieve as much congruence as possible. The greater the congruence, the more productive the organization. Congruence creates interdependence between the individuals and the organization, resulting in enhanced growth for the individual and greater productivity for the organization. At the same time, the principal should be aware of when it might be appropriate, and indeed desirable, to try to influence organizational expectations toward more positive directions. We will discuss this further when we consider the concept of transformational leadership later in this chapter.

Viewed systemically, organizational expectations represent the collective expectations of individual members. These expectations can also be considered from an individual or subgroup perspective, thereby raising various questions such as these:

- What does the group expect the organization to accomplish, and what expectations does the group have for the principal within the leadership role?
- What do individual members and subgroups expect from the organization and its leader and from each other?

It is evident from this discussion that there is great variation in the expectations of the varied stakeholders within the school setting. How then do we find congruence, or at least a place to begin our work together? One possible beginning point is a framework known as the School Improvement Plan.

The School Improvement Plan Applied to Systems Theory

The School Improvement Plan, which will be discussed more fully in Chapter 4 of this text, is designed as a framework for all that happens within a school setting. If viewed from a systems approach and properly facilitated by the school principal, this plan can serve as a central focus for leadership. The written plan reflects the important *institutional dimension* since it specifies the task or purpose that the school desires to accomplish. This plan is shaped by various stakeholders who, through consensus, specify the school's purpose and direction. Individual *roles* and responsibilities are identified for plan implementation. Each specified role has organizational *expectations* for task accomplishment. All institutional dimensions combine to represent a holistic plan. Note, however, that the plan is merely the written *intent* for task accomplishment. Much more is required.

PSEL 1

Intent, alone, is not enough for task accomplishment; there must be purposeful action taken on the plan. This requires that the *individual dimensions* of social systems theory work in concert with the institutional dimensions. Individual expectations must blend with institutional expectations. Individuals must contribute to the plan's design and must become committed to its realization for actual school improvement to occur. A community must evolve—one committed to a shared purpose.

The orchestrator of this complex process of school improvement must be the school principal. Just as the orchestra conductor directs a symphony, so, too, must the principal feel the pulse of the school, move with the rhythm of expectations and human needs, and create from diverse perspectives a harmonious community dedicated to the task. How successful the principal is in this endeavor will be greatly dependent on the nature of the organizational context in which the school operates, as we shall see in the following section.

The School: The Context for Leadership

PSEL 7

The responsibilities of school leadership are best understood when viewed within the organizational context in which leadership takes place. Indeed, Fullen[6] states that "the leader's job is to help change context—to introduce new elements into the situation that are bound to influence behavior for the better." Within context, leaders are identified to guide groups of people who

have come together to fulfill a purpose. Leaders are in service to organizations, to the individuals who comprise those organizations, and to the clients that the organization serves. As Hodgkinson[7] suggests, "The context of schooling is a complex fabric woven from the threads of individual lives—teachers, students, parents, and citizens—the threads of group culture and the social threads of politics and economics."

One way of viewing various organizational contexts is to consider them from the viewpoint of metaphors. Morgan[8] has presented several metaphors of organizational context that we will consider here: machines, organisms, and brains. As we view these contexts, note that leaders influence the nature of organizational context, and, in turn, leaders are influenced by the contexts in which they operate.

Schools as Machines

Schools, viewed as machines, exhibit many qualities reflective of the Scientific Management Era, where efficiency and highly structured tasks characterized much of the organization's daily operation. Schools designed in this fashion are closed systems, unaware of, or unresponsive to, the changing needs of their internal and external environments. This is a major disadvantage when considering the evolving needs of a complex society. Often, in such settings, the needs of the disadvantaged and minorities are not adequately met, and failure is the result. Nieto[9] suggested, "Failure to learn does not develop out of thin air; it is scrupulously created through policies, practices, attitudes and beliefs."[10] Characterized by a bureaucratic hierarchy, machine-driven schools are tightly coupled, policy-driven settings that tend to stifle the initiative and creativity of organizational members. Leaders of such schools attempt to control both power and knowledge and manage the organization and its people so that order, predictability, and tradition are maintained.

On the surface all may seem balanced and smooth running, but in such stagnant environments, decay is more likely to occur. These organizations face a real danger of becoming outdated and obsolete. When organizations are designed as machines, there is a tendency to manage rather than lead, for there is comfort in stability. Even schools that normally would exhibit more open environments can become machine driven. Under threat, these schools and their leaders sometimes revert to a machine-type model as they attempt to tighten up their standards and be accountable in the face of criticism. We see this tendency today in many schools that view the mandate for school improvement merely from a test-score perspective. These schools become test driven rather than student centered. The moral purpose of leadership is much more than the manipulation of test scores. As stated by Fullen,[11] "Moral purpose of the highest order is having a system where all students learn, the gap between high and low performers becomes greatly reduced, and what people learn enables them to be successful citizens and workers in a morally based knowledge society."

Schools as Organisms

Schools, characterized as organisms, or natural systems, exhibit growth and adaptive qualities. Centered on interdependence and collaboration, these schools emphasize individuality, uniqueness, and self-renewal, and they are responsive, open organizations that meet the changing needs of their internal and external environments. In such schools, principals serve as facilitators of

a shared mission that unites organizational members through purposeful commitment. Standardization of method is far less important than the results achieved or the impact realized. Human needs are acknowledged and met while growth is facilitated. In this context, uniqueness is appreciated as individuals are encouraged to maximize individual potential; diversity is viewed as a strength that provides greater synergy to the organization.

Schools as Brains

PSEL 10

Learning organizations, characterized as thinking/learning models, reflect the brain metaphor. Schools of this type emphasize reflective, problem-finding approaches for the improvement of current conditions and practices. This will be discussed in more detail in Chapter 2 when we consider schools as learning communities. It is important to note, however, that schools must be designed appropriately to facilitate learning communities. In schools that operate from a brain perspective, both the rational and intuitive dimensions of problem solving come into play. Knowledge and power are widely dispersed throughout the organization. This exchange of ideas enables adaptation to occur and new designs and approaches to be generated. Schools organized as brains are characterized by community; knowledge is not only shared and stored but it is generated. In these schools, principals are facilitators who enable the free flow of communication and exchange of ideas and who set forth conditions that foster the empowerment of others.

Reflection

In viewing these metaphorical contexts from the perspective of schools, we can apply questions that help paint a vivid picture of each setting. As you reflect on these environmental contexts, consider these significant questions concerning each one of the previously described organizational contexts:

- What would be the purpose of education?
- What would be the role of the principal? (director, facilitator, developer?)
- What would be the role of the teacher? (laborer, craftsperson, professional, artist?)
- What would be the role of the learner?
- What would learning look like?

There is embedded in organizational context both implicit and explicit expectations of what the organization should accomplish and what the leader should provide to the process of goal fulfillment. Sarason[12] has noted:

> Existing structure of a setting or culture defines the permissible ways in which goals and problems will be approached. Not so obvious, particularly to those who comprise the structure, is that existing structure is but one of many alternative structures possible in that setting and the existing one is a barrier to recognition and experimentation with alternative ones.

As you answered each of the previous questions, you did, in fact, explore organizational beliefs and platforms from which leadership is cast. A formal platform is comprised of a series of statements reflecting beliefs, values, and visions for education.[13] Platforms help people clarify

personal and organizational expectations. But what are the influences that shape these expectations and that determine those platforms?

School Expectations

PSEL 4

Organizational expectations are influenced by various sources: the school community, school district mandates and policy, state and federal policies and directives, court decisions, the general public, the educational profession itself, and various interest and professional groups. Individuals and subgroups within organizations also have their own set of expectations that grow out of their unique experiences, their personalities and individual needs, and, in many cases, their political agendas. All play a part in shaping organizational expectations, as well as the expectations the organization holds for its leaders.

Expectations for schools tend to become generalized and perpetuated over time by one's past experiences in school settings. For instance, overexposure to a certain organizational context might result in a feeling of comfort that *this is the way things are done around here.* Although a status-quo perspective does enable the preservation of many important traditions and structures, it can also have negative results. In many cases, these past experiences create expectations, which may cause schools to become outdated and obsolete in their purpose. This is especially true as school environments change and new and crucial needs arise. Sarason[14] addressed this issue when he suggested that schools are very difficult to change because most everybody at some point has *been there.* Recognizing this danger and being cognizant of the need to restructure schools to better meet the needs of changing society, many groups have endeavored to change outdated expectations and to redesign the environmental context, or the structure, that surrounds the school.

School expectations have been challenged by the research in effective schools as well as by national reports, such as *A Nation at Risk*[15] and *The Carnegie Report.*[16] The expectations for school principals as leaders of restructured schools have also been challenged. Two major leaders in this arena, the National Policy Board[17] and the Interstate School Leaders Licensure Consortium (ISLLC),[18] have developed national standards that attempt to bring greater clarity and direction to the role of school principal.

Tightly Coupled and Loosely Coupled Organizations

Often, there is great difference of opinion as to what constitutes "good schooling" and good leadership within schools. As a result, schools often find themselves trying to muddle through their tasks with little true sense of direction or clear understanding of expectations. The very nature of schools and schooling makes it difficult to come to agreement on expectations, even within a particular school setting. Weick[19] has referred to this in terms of the "tightly coupled" versus "loosely coupled" phenomenon. Organizations that are tightly coupled are characterized by four important qualities: (1) there are clear rules and expectations, (2) rules and expectations are disseminated and understood by all organizational members, (3) monitoring of performance is consistent and frequent, and (4) corrective feedback results from assessment results. There is balance and order within the structure that is set; it is a rational system. This tightly drawn system is reflective of the machine metaphor, which carries with it expectations for structure, standardization, and control.

Schools, in contrast to such organizations, are not rational entities; instead, schools are much more loosely coupled and unpredictable. Although there are general expectations for all schools, each school must redefine those expectations based on the things that are not always clear-cut and predictable. This opens the door for real leadership to occur. Principals in such settings have greater opportunity to personalize their organizations and voice their own expectations and the expectations of others within their organizations than do principals in more rationally ordered settings. Although broad, general expectations exist for all schools, there is great variety among schools in interpreting those expectations based on their own unique needs. Here is where a school principal, by orchestrating a carefully developed School Improvement Plan, can help chart the pathway for *real* school improvement. This plan must first give careful attention to an important question: *What should be?* Each school must redefine its own expectations based on the influences it encounters within its own unique setting and on the changing needs of those individuals within the setting.

Leadership Perspectives

PSEL 1

It is easy to govern schools based on a set of standardized expectations; it is a far greater challenge to examine those expectations according to the needs of the individuals within the setting. Leaders become either reactive or proactive in their response. The reactive mode requires only management of a prescribed order; the proactive mode requires leadership. The managerial style, often referred to as *transactional leadership,* is reminiscent of the machine metaphor and places power and responsibility in the hands of the principal. Adherence to the purpose is based on a reactive response supported by positional and sometimes coercive power. It is an exchange of *a day's work for a day's pay* with little thought to purposeful commitment.

Certainly, the administrator should be a custodian and preserver of the basic traditions, values, goals, and history of the organization as well as a guardian of all that is good and productive. In that sense, the leader operates as a manager. At the same time, if the organization is to maintain its vitality and meet the needs of its people and of the larger context it serves, the leader must also be a proactive questioner of current practices and a transformer of policies, procedures, and practices that are counterproductive for the organization and its members. The leader must facilitate schools that are not only productive disseminators of knowledge, but that also guard and preserve the democratic rights of all individuals within that context. To do so is to practice social justice. The leader must help elevate and orchestrate higher purposes for the good of all. In other words, a careful consideration of *what should be* will result in a vision where all members are afforded the highest possible opportunities for maximum development regardless of race, age, gender, or intellectual capabilities.[20] In that sense, the leader is transformational. The organistic model and the brain model come into play. The *transformational leader* shares power, inspires others to leadership, and encourages participation and involvement of all members in executing the school's purpose.

Contrasting the Transactional and Transformational Leader

In his classic work, *Leadership*,[21] Burns coined the terms *transactional* and *transformational* leadership. These two leadership approaches are, from his perspective, completely different styles that have little to do with each other. The transactional leader operates from a power base

of rewards and punishments and endeavors to gain the cooperation of followers on an *exchange* basis. Little personal commitment results from this exchange, because it depends on merely understanding the duties and making sure they are accomplished as directed. Leadership in this sense is viewed as a function of organizational position. It is concerned with reacting to presented problems by orchestrating people and tasks to accomplish stated goals. The school principal focuses on tightly coupled objectives, curriculum, teaching strategies, and evaluation. The teacher is viewed as a *laborer* with administration determining not only the *what* but the *how.* The machine metaphor is very much in place.

PSEL 1

Transformational leadership, on the other hand, inspires others toward collaboration and interdependence as they work toward a purpose to which they are deeply committed. It is a leadership style based on influence and is accomplished when leaders "delegate and surrender power *over* people and events in order to achieve power over accomplishments and goal achievement."[22] Sergiovanni has referred to transformational leadership as a "value-added" approach, since the focus is on a tightly coupled purpose that determines the *why* rather than the *what* and *how.* The teacher is seen as a craftsman, professional, or artist rather than laborer,[23] with the organizational context being organistic or brain metaphor oriented. Foster[24] agrees with Burns that these two styles are cut from a different cloth, yet there are others who view the skills as being closely related and building on each other.

Representative of those who see this connection are Bass and Avolio,[25] who presented a first- and second-order change theory. They contend that leaders must manage before they can lead. During first-order change, the leader is concerned with understanding subordinates' needs, providing them appropriate rewards for their contributions, and helping them clarify the connection between their goals and those of the organization. It is only after this is accomplished, Bass and Avolio suggest, that the leader really inspires others to greater values awareness, encourages their commitment to the goals of the organization, or fosters their personal or professional growth. During this second-order stage, the leader becomes transformational.

PSEL 6

The questions now become: Where does transformational leadership take place? Are all persons in leadership positions transformational leaders? Is only the designated leader, or the school principal, a transformational leader? Is transformational leadership equated with school effectiveness as determined by stated goals and objectives? Is it possible to be a transformational leader and not manage?

These questions are fertile ground for debate. Both Sergiovanni[26] and Foster[27] have provided a perspective. In Sergiovanni's model of the effective instructional leader (discussed in Chapter 2 of this text), a continuum of leadership skills is presented. The lower three skills—technical, human, and educational—are viewed as basic skills for determining competence as a leader. In other words, these are the necessary skills for good management of the organizational setting and establishment of the basic foundation for effective educational productivity. A school principal would need to attend to all of these skills in adequate fashion to be considered competent; to do less would denote incompetence. The highest two skills—symbolic and cultural—need to be in place before a principal is considered effective (or, in our terminology, transformational). This hierarchy is reflective of the theory expressed by Bass[28] and suggests that if an individual is to be transformational within the principal's role, he or she must, in fact, have in place a foundation of good management practice. To be an effective symbolic and cultural principal-leader assumes that the foundation of competent management is already in place. However, as Burns suggested, "Leadership is *not merely* a managerial tool."[29]

Foster takes transformational leadership beyond the role of the principal by suggesting that transformational leadership results from "mutual negotiations and shared leadership roles."[30] He continues, "Leadership cannot occur without followership and many times the two are exchangeable. . . . Leaders normally have to negotiate visions and ideas with potential followers, who may in turn become leaders themselves, renegotiating the particular agenda."[31]

Ethical Responsibilities of Transformational Leadership

PSEL 2

Foster[32] suggests that transformational leaders operate from four important characteristics. First, they are *educative.* They help the organization learn. They assist organizational members in important discoveries:

- What has taken place in the school's history?
- What guiding values have helped to shape its culture?
- What is the school's purpose?
- What is power distributed throughout the organization?

Second, they are *critical.* They help organizational members examine current conditions and question their appropriateness for all individuals. They encourage individuals to make a difference in the situations that seem unjust or inappropriate by taking action in positive ways.

Third, transformational leaders are *ethical.* They encourage self-reflection, democratic values, and moral relationships. They strive to influence people to reach higher levels of values consciousness.

Fourth, they are *transformative.* Their leadership is aimed toward social change through elevation of human consciousness. They seek to build a community of individuals who believe they can make a difference.

Single-Loop and Double-Loop Learning

PSEL 10

A learning model by Argyris[33] helps in better understanding these different leadership perspectives. Argyris defined two kinds of learning: a single-loop and a double-loop process. "*Single-loop learning* rests in an ability to detect and correct error in relation to a given set of operating norms."[34] It consists of three steps:

1. A norm, or a standard, for operation is established. (What should be?)
2. Monitoring occurs to determine if any discrepancies exist between current conditions and the established norm. (What is?)
3. Corrective action is taken to ensure that conditions are congruent with the previously established norm. (Needs and a plan for correction are identified.)

The single-loop process promotes stability and predictability based on an established norm. It is assumed that what the organization is trying to accomplish is what it *should be* doing. Little consideration is given to the evolving nature of the internal and external school environment. The organization operates as a closed system.

"*Double-loop learning* depends on being able to take a 'double look' at the situation by questioning the relevance of operating norms."[35] It is a four-step process:

1. A norm, or a standard, for operation is established. (What should be?)
2. Monitoring occurs to determine compliance with the established norm. (What is?)
3. If a discrepancy exists, leaders ask "Why?" (Why is it as it is?)
4. Corrective action takes place, which may
   a. bring conditions back in line with the norm (What should be?) or
   b. establish a new norm. (A *new* look at "what should be")

Double-loop learning encourages growth and development, for it responds to the inevitable changes that occur within the school's internal and external environment. Rather than accepting a goal or norm as being correct time is spent in questioning that norm in light of changing needs.

Single-loop learning is a *problem-solving process.* Double-loop learning is both *problem solving* and *problem finding.* In school improvement, it is important to question the current norms and practices to see if they meet the needs of *all* groups.

Management and Leadership

Good management creates a necessary state of orderliness and certitude to aspects of the school organization, but not to the exclusion of a necessary state of turmoil as new goals and processes are established and as the school family addresses new challenges and struggles to create an even more productive future.

This begins to describe the difference between leadership and management. Management is status quo oriented and assumes a highly stable environment. As Argyris[36] explained in the single-loop process discussed earlier, the job of the manager is to keep the organization moving correctly according to the norm that has already been set. There is an assumption made that the standards or norms that have been previously established are appropriate ones, and the task is to see that conditions are aligned with the established goals. If the organization is not operating effectively, it is the job of the manager to see that corrective action is taken to bring it back into balance. Management operates from a problem-solving perspective with little attention given to questioning the appropriateness of established norms.

The notion of leadership is much different. Leaders build on the status quo, to be sure, but they go well beyond it. As in a double-loop process, they continually reexamine the norm to determine if what the organization *is doing* is what it *should be doing.* As Foster stated, "Leaders always have one face turned toward change."[37] There is a constant reexamination of current conditions and a formulation of new possibilities. Leadership is a problem-finding as well as problem-solving approach. It is a dynamic process that challenges the organization to higher levels of consciousness and growth.

Certainly, good principal-leaders also manage, but they manage with a leadership perspective! A different mental set characterizes the leader-manager. These principals use their perceptions of changes that are needed to work both inside and outside the organization to map new directions, to secure new resources and refocus existing resources, and to respond to the realities of a very unstable present and, at times, an unforeseeable future. To such leaders, change is inevitable—the challenge is to make the most of it in increasingly more productive ways.

The Principalship: The Role in Context

Leadership as Philosophy in Action

PSEL 1

When school principals enter their schools, they bring with them their values, beliefs, and philosophies. Principals lead from their values! The impact of the principal's leadership is felt, and is dependent on what the principal values, and the clarity and commitment the principal displays toward those values.

Earlier, we discussed the individual and organizational (nomothetic) expectations for the various roles within an organization. Regardless of the organization's expectations for the role of "principal," or the expectations held by various individuals or subgroups within the organization, the individual within the role must weigh his or her own expectations against those demands and determine how the role will be shaped. What the principal personally values gives form and substance to the role of principal.

Values shape the direction of leadership, provide the distinctive character of that leadership, and determine the passion that influences others to follow. Leadership, then, results from a relationship forged on the anvil of respect and personal regard. Leadership is nurtured by the values that ultimately unite individuals, from however dissonant their perspectives.

The principal's values impact the school in two very important ways. First, the principal's values determine *preservation and guardianship.*[38] The principal's values determine what remains stable or unchanged. Second, the principal's values determine the *nature of transformation and change.* Values determine what the principal recognizes as being unjust or inappropriate for the human beings served, the nature of the problems identified and solved, the quality of critique (or questioning of current practice), and the direction that change takes.[39] Norris stated that "values shape personal dreams and visions,"[40] and Kouzes and Posner suggested that these values are "the guiding principles in our lives with respect to personal and social ends we desire and with respect to moral conduct and personal competence such as honesty and imagination."[41]

Espoused Values and Values in Use

Values are both espoused, or voiced, and demonstrated in actions. What principals believe is their *espoused theory.* What they demonstrate that they believe through their actions is their *theory in use.* It is important that there be congruence between what principals *say* is important, or valued, and what they actually *do* or demonstrate is important by their actions. A congruence between these two is the basis of leader *credibility.*[42] A discrepancy between what leaders say and do leads to mistrust and an inability to influence the behavior of others.

Leadership is dependent on credibility! Credibility, then, has everything to do with values, but to fully appreciate this fact, it is important to have a clear understanding of the nature of values. The following section presents a model for interpreting the level of one's value consciousness.

Leadership from a Values Perspective

The values that an individual leader possesses form a continuum that ranges from a transactional style (or managerial mindset) to a transformational (leadership) one. In understanding how values shape these perspectives, let us consider values development as classified through the work

of Hall.[43] In Hall's view, values acquisition is a developmental process that proceeds through cycles of growth resulting in four *phases of consciousness* (discussed in the next section). Hall has suggested that movement from one phase to the next requires that an individual become conscious (aware) of that stage by (1) understanding the world from that perspective, (2) perceiving himself or herself as functioning within that world, or (3) having human needs he or she wishes to satisfy within that phase. A stage of values consciousness is governed not only by the goals or needs the individual seeks to satisfy within that phase but also by the means, or skills, necessary to actualize those goals. Hall has theorized that leaders must possess the skills needed to operate at a particular consciousness level before that level can be appreciated or valued. A leader leads at the level of values consciousness attained.

Hall's Phases of Consciousness

Here, we explore each phase of consciousness and discuss its implications for leadership.[44]

Phase One. The major emphasis at this phase of consciousness is *survival.* The individual is highly motivated to remain safe and to preserve things in a stable, secure manner. There is a great need during this phase to ensure that life is predictable and that it conforms to known patterns. During periods of increased stress or uncertainty, the individual experiences enhanced need for self-preservation and less tolerance for ambiguity. Since structure, predictability, and control give the illusion of "safety," principals who operate from this phase of values consciousness often seek comfort in the tried and true and find the machine metaphor compatible with their needs. Individuals at this phase of consciousness are consumed with their own self-interests and have less empathy for others; their stage of leadership is transactional.

Phase Two. The need for *social interaction* becomes prevalent at this stage of consciousness. The individual reaches beyond his or her need for self-preservation to appreciate the needs of others. There is an increasing desire to belong at this stage—not only within family and social groups but also to organizations. Organizational affiliation is viewed as adherence to rules, policies, and procedures; therefore, an administrator at this phase strives to operate *by the book* yet at the same time project a caring, considerate attitude toward subordinates. Since schools are viewed as families, there is emphasis on collegiality and a desire to foster a sense of belonging among the staff. Leadership remains transactional.

Phase Three. *Individuality* emerges during phase three as a creative response to life takes the place of institutional conformity. During this phase, the individual begins to become his or her own person. There is increased motivation for self-actualization and a more genuine recognition of the dignity and worth of others. Empathy and a deeper respect for human life are present. Leaders at this phase of values consciousness find the organistic metaphor a compatible view of organizational context. They emphasize the uniqueness of individuals and their need for continued development. They model a more transformational style of leadership.

Phase Four. Individuals at this phase begin to think from a more *global, systemic perspective.* They experience an increased desire for harmony, community, and the integration of values, beliefs, and ideas. Principals begin to view the world beyond the borders of the school with a deepening appreciation for the larger community and for societal issues. Principals take on

a proactive stance, becoming more involved in the critical questioning of current practice. There is a transformational aspect to leadership that seeks to make a difference in education and in the lives of others. A strong desire emerges to build community in its truest sense.

Implications for Leadership Development

Through personal reflection, leaders encounter their beliefs, strengthen their convictions, and challenge their thinking toward higher levels of moral commitment. The values that principals embrace form the basis of what they perceive to be important in their schools. Values form the building blocks for a personal vision of what should be. Senge[45] discusses the importance of vision development and refers to it as "personal mastery."[46] It is the task of leaders to discover and clarify their values as a foundation for guiding their schools. This is the first step in becoming what George calls the "authentic leader."[47] Authentic leaders understand their values, and their leadership comes from a true conviction and purpose. George identifies five basic characteristics of these leaders: "1) They understand their purpose, 2) they have strong values about the right thing to do, 3) they establish trusting relationships with others, 4) they demonstrate self-discipline and act on their values, and 5) they are passionate about their mission (i.e., act from their heart)."[48]

Leadership and Vision

Vision has been defined as "the capacity to create and communicate a view of the desired state of affairs that induces commitment among those working in the organization."[49] *Create, communicate*, and *commitment* are the key words. Organizational study after study, whether that organization is in the public sector or the private sector, a school or a business, reveals that leaders have vision. Bennis[50] found that the key ingredient among executives of highly successful organizations was "compelling vision." Others, both before and after the Bennis inquiry, have found much the same. Norris,[51] for example, called it "creative leadership" and wrote,

> Leadership is creative to the extent that the leader:
>
> - has a wide knowledge of educational theory and principles;
> - possesses the ability to analyze current situations in light of what should be;
> - can identify problems;
> - can conceptualize new avenues for change.

She continued, "Creative leadership requires that the leader make full use of the analytical as well as the intuitive mind."[52] Visionary leaders ask such questions as these: Who are the human beings that inhabit the school setting? What are the needs of these individuals? What unique problems face them as they seek to bring meaning to their lives? Vision, then, is asking questions about what might be, standing for something, making certain others know what that "thing" is, and determining appropriate courses of action for getting to expressed goals.

Shared Vision and Authority

Increasingly important is the notion of *shared vision* and the part that the principal plays in fostering the empowerment of others. Commitment to any endeavor is strengthened greatly when others have the freedom to express their own visions of what should be and are encouraged to contribute

their unique talents and ideas to the resolution of important issues that concern them. The principal encourages responsibility by allowing the autonomy and authority to match the task.

Leadership Style and Emotional Intelligence

Goleman[53] posits a direct link between emotional intelligence and effective leadership. He points out that emotional intelligence (EI) is as important as cognitive ability in determining one's effectiveness as a leader. He suggests that EI is comprised of four main capabilities:

- Self-awareness—a sense of self-worth based on understanding one's emotions, strengths, and limitations and the impact they have on others
- Self-management—the ability to manage one's emotions, responsibilities, and opportunities as well as being trustworthy and oriented toward excellence
- Social awareness—empathy toward others, a sense of organizational needs, and recognition of and action toward meeting the needs of others
- Social skill—visionary leadership and influence as well as the ability to communicate, foster change, manage conflict, and inspire others toward collaboration and cooperation

It is important that leaders work to develop all areas of EI in order to effectively lead their organizations.

Different EI capability areas tend to promote different leadership styles; each style affects organizational members in a different way. Table 1.1 demonstrates this connection.

The most effective leaders are those who employ all six of the leadership styles and apply each one appropriately. Four styles—the authoritative, democratic, affiliative, and coaching—appear to produce the best organizational climate and performance.

Goleman's research indicates that the most effective single style in producing a results-oriented climate is the authoritative style. Authoritative leaders are visionaries who inspire people and gain their commitment by showing them how their work fits into a larger purpose for the organization. "An authoritative leader states the end but generally gives people plenty of leeway to devise their own means. Authoritative leaders give people plenty of freedom to innovate, experiment, and take calculated risks."[54]

TABLE 1.1 Leadership Style, Emotional Intelligence Capabilities, and Impact on Others

LEADERSHIP STYLE	EMOTIONAL INTELLIGENCE CAPABILITIES	IMPACT ON OTHERS
Coercive	Initiative, achievement	Compliance
Authoritative	Self-confidence, empathy, vision	Commitment
Affiliative	Empathy, communication, relationship	Contentment
Democratic	Collaboration, team building	Collaboration
Pacesetting	Initiative, responsibility, achievement	Challenge
Coaching	Self-awareness, empathy, development	Growth

Source: Adapted from D. Goleman, "Leadership That Gets Results." *Harvard Business Review* (March–April 2000): 78–90.

The results of this study suggest that school principals are most effective when they can sense organizational needs and orchestrate their style repertoire to meet the evolving needs of the organization. The study supports earlier contingency management studies suggesting that there is no single approach to effective leadership given the diverse and constantly changing needs of today's schools.

This brings us to an important consideration of the principal's role as an instructional leader. We examine both instructional and transformational leadership and consider the part that each plays in accomplishing the goal of academic excellence.

Instructional Leadership vs. Transformational Leadership

Since its early beginning as a leadership model championed by the Effective School's Movement, instructional leadership has been wrapped in controversy and viewed as a *top-down model* consistent with the machine metaphor of directive leadership.[55] Many "common fallacies"[56] have arisen about the nature of this directive role.[57] One fallacy is "that instructional leadership means the leader runs the district, its schools, and the teachers like a dictator." Lezotte challenges this assumption and states that instead, "leaders lead through commitment, not authority"[58] and that they invite others to "share the leader's dreams"[59] by providing opportunities for "professional autonomy" and "individual freedom."[60]

PSEL 1

Hallinger[61] helps us to clarify this point by suggesting that effective school principals use two primary leadership approaches in their quest to serve as catalysts for academic excellence: "instructional leadership and transformational leadership."[62] Although these approaches differ, they complement each other in important ways, and both are needed to fulfill the complex task of educational leadership.[63] We will discuss each of these approaches and then look at areas where they might be integrated.

It is true that instructional leadership is directive; the principal is in charge—much like the style noted by Goleman[64] as "authoritative." Notice, however, that the authoritative style, although directive, is not coercive. The same is true of the effective instructional leadership style. A more directive style (i.e., authoritative and/or instructional leadership) is a useful approach for what Bass and Avolio[65] refer to as a style that promotes first-order change. In this stage of a change process, the leader (i.e., principal) is building a foundation or framework for accomplishing the more complex task of school improvement that lies ahead. This directive style is particularly important in the early stages of skill development when faculty are often at varied "developmental levels."[66] Three major task categories are included in instructional leadership. They are "defining the school's mission," "managing the instructional program" and "promoting a positive school climate."[67] Hallinger breaks the three task categories down further into 10 dimensions that include the following:

- Framing the school's goals and communicating the school's goals
- Supervising and evaluating instruction
- Coordinating the curriculum
- Monitoring student progress
- Protecting instructional time
- Promoting staff development
- Maintaining high visibility
- Providing incentives for teachers
- Providing incentives for learning[68]

This brings us to the second leadership approach necessary for school improvement: transformational leadership. The very word *transformation* signifies change, and as Bass and Avolio suggest, this is "second-order"[69] change, which invites a reordering of the context in which leadership is cast. Burns's original definition of transformation had the notion of elevation of both followers and the leader to higher levels of motivation and values. It signified a change of attitude and purpose, resulting in a change of behavior. Transformational leadership is "capacity building"; it fosters a united purpose, where values, beliefs and attitudes of all individuals are joined in concert. Transformational leadership is based on trusting relationships that acknowledge and validate the talents and contributions of followers; the "leader is a leader for the moment only"[70] for the task of leadership is widely distributed among organizational members. Fullen suggest that there is much "principal power"[71] in sharing leadership with other competent teachers because "successful principals develop others in a way that is integrated into the work of the school."[72]

As mentioned earlier in this chapter, some researchers see transformational leadership as an outgrowth of a more transactional foundation. Bass and Avolio suggest a "Full Range Leadership Model,"[73] which is a continuum of leadership styles extending from transactional to transformational leadership. It is the view of these researchers that leaders have all these styles at their disposal and can use them effectively according to the situation and the context in which leadership is cast. This continuum is consistent with the notion of instructional leadership (a more transactional approach) serving as a foundation for transformational leadership that seeks to build a sustained culture centered on a united purpose. The transformational end of the continuum is characterized by four factors. We will discuss each in detail.

"Factor One" includes two related components, "idealized influence" and "charisma."[74] It centers on the personal power of the leader through an influential power base. Followers *identify* with the leader and the purpose and direction of his or her leadership. The leader is "admired, respected and trusted."[75]

"Factor Two, inspirational motivation" is concerned with the leader's ability to motivate subordinates to higher levels of commitment to the organization's purpose. The leader achieves this through his or her enthusiasm and dedication to the mission and goals espoused. Through modeling these behaviors, the leader challenges others toward similar dedication.

"Factor Three, intellectual stimulation"[76] is characterized by leaders promoting an atmosphere of openness and accessibility that stimulates creativity and "double-loop learning." Organizational members are encouraged to question existing practices and to experiment with more appropriate means for resolving issues. Problem finding, as well as problem solving, is encouraged.

"Factor Four, individualized consideration"[77] gives credence to the individual. Each person is recognized for the unique and valuable contributions that he or she brings to the organization. Attention is given to individual needs and growth patterns, and there is open communication that encourages growth.

Other researchers have adapted models of transformational leadership with similar components. Kouzes and Posner[78] suggest that transformational leaders model the way, inspire a shared vision, challenge the process, enable others to act, and encourage the heart. Leithwood[79] adapted Bass and Avolio's model to education and suggested that educational leaders provide transformational leadership through (1) individualized support, (2) shared goals, (3) vision, (4) intellectual stimulation, (5) culture building, (6) reward, (7) high expectations, and (8) modeling.

Looking back at the Instructional Leadership Model proposed by Hallinger,[80] it is evident that, as he suggests, the two models, Instructional Leadership and Transformational Leadership,

can be integrated effectively, depending on the organizational needs and the maturity level of organizational members. The situational aspects of the organizational context are important considerations in just how this integration should take place. The important point that should be made from this analysis is that leadership is not the sole responsibility of the principal—neither is it a responsibility given over solely to teachers. It is a collaborative effort with the principal serving as a catalyst for making it happen. Fullen[81] captures the idea well when he states, "Just as world-class orchestras made up of virtuoso musicians require world-class conductors, so too do schools with fine teachers require the principal's instructional leadership."

Roles and Functions

The role of the principal will vary from place to place as a result of organizational and community expectations. Nevertheless, the *functions* that must be managed by the principal are similar, regardless of where the position is located or how many students there are.

Five functional aspects compose the principalship. Four of these take place inside the school; the other occurs in interaction with the outside world. The "inside" functions include curriculum development, instructional improvement, student services, and financial and facility management. The "outside" function is community relations.

The dimensions of leadership and management cut across these five functions. Leadership is the way principals *use themselves* to create a school climate characterized by student productivity, staff productivity, and creative thought. Think of good management as the systematic application of an array of skills to provide for an orderly and efficient school environment.

Research and development efforts of such professional organizations as the National Association of Secondary School Principals (NASSP)[82] and the National Association of Elementary School Principals (NAESP)[83] have uncovered discreet skills, the presence of which determines effectiveness. Research done by NASSP[84] notes abilities that are important to a successful school administrator. More recently, the NPBEA has incorporated many of these skills as part of its national standards for school principals.[85] The six NASSP abilities include the following:

- Ability to plan and organize work
- Ability to work with and lead others
- Ability to analyze problems and make decisions
- Ability to communicate orally and in writing

Each of the five functions is vitally important for school success, and each requires the principal to exercise good managerial skills as well as leadership. The remainder of this text will focus on these specific functions and will discuss the dispositions, knowledge, and skills necessary for effective principal leadership.

A Leadership Challenge

Today's school principals have been charged with the task of shaping their schools to become outstanding examples of productive learning. Principals are challenged to clarify their own values, beliefs, and positions and to engage proactively with others in the redesign and improvement

of their schools. They are expected to establish conditions that foster personal empowerment and enhanced development of organizational members and to orchestrate shared power and decision making among an array of individuals both internal and external to the school setting. At the same time, principals are encouraged to build a community of leaders and learners who will effectively shape the school environment to champion increased productivity among students. Truly, it is an exciting time to be a school principal!

Summary

School leadership is best understood in relation to the context in which that leadership takes place. In this chapter, we have explored organizational context based on the metaphors of machines, organisms, and brains. Through that exploration, we have examined individual and group expectations and the part these expectations play in determining the nature of the principalship as well as the principal's role within that context.

The concepts of transactional and transformational leadership have also been explored as a way of understanding the importance of principals' values and ethical responsibilities within their role. We have stressed the importance of principals becoming reflective leaders concerned with their own development and leadership artistry. Finally, we have considered both instructional and transformational leadership styles as avenues for school improvement.

ACTIVITIES

1. Review Case Studies 12, 19, and 24 found in Appendix A at the end of this book. Apply the concepts expressed in this chapter. What implications do the various views of transformational leadership have for managing and leading? What relevance has social systems theory? Which, if any, of Morgan's metaphors might describe the organization in each case?

2. Find the PSEL Standards and review the actions of effective leaders for Standard One. Reflect on which of the standard items relate directly to the material presented in this chapter. Do these standards better reflect the concepts of transformational or transactional leadership? Identify one function from each standard to link directly to a concept or idea discussed in this chapter.

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CHAPTER

2 The Learning Community

Community celebrates the dignity and worth of self and others, fosters the empowerment of both and encourages and supports the maximum development of human potential for the benefit of the common good.

—Cynthia Norris et al.[1]

Principals are challenged to be developers, or catalysts, for human and organizational development. This is an awesome task requiring awareness, commitment, and a genuine concern for the welfare of others. Development cannot be considered without first addressing the concept of *empowerment*, which means "to enable." We believe it is the responsibility of the school principal to ensure that conditions are present that enable individuals and organizations to develop their highest potential. Although personal empowerment must come from within the individual person, the principal can foster a climate conducive to risk taking, personal contribution, and challenge.

PSEL 6, 7

The orientation toward development is consistent with the concept of servant leadership discussed in Chapter 1. Viewed from a servant leadership perspective, a developer is in "service" to others, fostering the greatest opportunities for their growth. As the leader takes time to consider others' needs, there is a renewed emphasis on an "ethic of care."

This chapter takes the position that the context most conducive for inspiring individual and organizational development is the *learning community.* In the following discussion, we build the concept of a learning community, talk about the conditions that facilitate its enactment, and discuss the role that the leader plays in fostering its development. In understanding learning communities, it is first necessary to consider the nature of groups.

Sociological and Psychological Nature of Groups

Groups have both a sociological (group) and a psychological (individual) dimension. The sociological dimension is concerned with how the group itself develops and how it, in turn, interfaces with other groups. The school would be considered a group that contains within it many

subgroups. Examples of these subgroups are departments, teams, schools within schools, study groups, and cooperative learning groups. Other forms of subgroups include those based on gender or ethnicity. Each subgroup interacts with the larger school, with other subgroups within the school, and with groups in the larger environment. In turn, the larger group, or the school, must interface with all the individual subgroups and with other schools, as well as with the umbrella group, or school district.

PSEL 3

In schools that are not sensitive to the issues of social justice, there is sometimes a failure to give equal attention to all groups and their needs. This failure greatly impedes the development of the school as a true learning community. Even beyond the parameters of the official school district, other groups react with the school and its subgroups. Parent groups, support agencies, and state departments of education are but a few examples. Ways of working with many of these groups are discussed in later chapters concerning public relations, special education, and legal issues.

The psychological nature of groups involves the individual *within* the group. Of particular interest is the nature of the individual's development and how it is affected by the dynamics of the group. What factors create or impede individual development? Of interest, as well, is the impact that the individual, in turn, has on the group. How does the individual influence group development? How might the individual lessen the effectiveness of the total group? How might the group impede the development of the individual? All of these concerns are dealt with as we consider learning communities.

Reciprocity

A major concept relevant to understanding group and individual development is the notion of *reciprocity.* Based on the word *reciprocate,* which means to "give back," reciprocity enables individuals and groups to respond in productive ways to the influence of each other. As one entity grows and is strengthened, it provides influence and opportunity to the other, thereby encouraging mutual development. This exciting notion lies at the heart of what a learning community is. Researchers have explored the idea of reciprocity by examining groups, called *cohorts.*[2] Cohorts are becoming typical service-delivery models in educational administration programs throughout major universities. Next, we discuss some major findings from this cohort research and provide a model that has implications for learning communities in schools.

PSEL 7

Cohort Model

The model shown in Figure 2.1 is the result of researchers'[3] work with cohorts across four university settings over a six-year period. The researchers suggest that cohorts that operate as true groups are characterized by four important qualities: interaction, purpose, interdependence, and individual growth. The first three qualities, demonstrated by the outer points of the triangle, determine the strength or cohesiveness of the group, or cohort. The outer points of the triangle demonstrate this interconnection. The inner portion of the triangle represents the individual development that tends to happen when groups become cohesive, interdependent entities. Individual development includes the following characteristics believed to occur in developmental fashion: support, security, friendship, knowledge, and realization of the personal dream.

Let us discuss each of these components of a community in detail and apply the related concepts to schools.

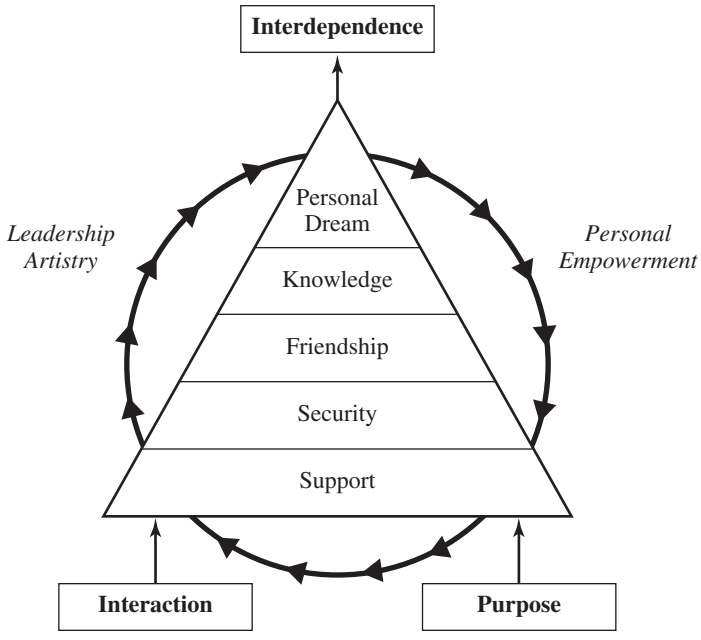

FIGURE 2.1 The Cohort Model

Source: Adapted from C. Norris and B. Barnett, "Cultivating a New Leadership Paradigm: From Cohorts to Communities." Paper presented at the University Council for Educational Administration Annual Meeting, Philadelphia, 1994. Used with permission.

Interaction. Interaction, which serves as the foundation of a community, is enhanced through frequent opportunities for individuals to come together. Initially, group members are more closed in their willingness to connect with each other. Often, barriers are built that impede a free exchange of ideas, and group members may be somewhat hesitant to reveal themselves to each other. The size of the group also plays a part in increasing interaction. In groups over 20, it is more difficult to ensure that opportunities are provided for all to contribute. It is important that the principal foster a climate of openness and trust and that many opportunities are made available for individuals to share thoughts and ideas.

Interaction builds connections and encourages trust among members. It moves the group from a mere discussion of ideas to a deeper level of exchange, which Senge[4] terms "dialogue." As Norris[5] states:

> Positive involvement and accountability for group goals and purposes are intensified when members interact and consider the issues surrounding their aims and purposes. They learn from each other as ideas are shared and they question and confirm their direction and purpose. It is interaction that ultimately paves the way for a deeper understanding of, and commitment toward, group purpose—the second ingredient in a true learning community.

Purpose. Purpose unites the group in a meaningful way and creates a community from a mere gathering of individuals. Purpose must evolve from among group members if it is to be meaningful.

Each person must see in that purpose something of value if he or she is to become committed toward its achievement. When individuals, through collective dialogue, determine their own purpose, they work more diligently to achieve their objectives.

Interdependence. Interdependence results from group commitment toward a shared purpose. As individuals work together to achieve something they all value, they begin to appreciate the talents and contributions each brings to the task. They understand more fully that their efforts are intensified as others join with them in the same cause. This is certainly true in teacher professional learning communities; it is equally true among students in collaborative learning groups and similar settings. Again, however, note that the previously mentioned qualities of a learning community must be present before interdependence results. Nieto[6] makes this point when she talks about establishing cooperative learning groups as a way of meeting the needs of students in multicultural settings: "Cooperative learning, for example, can take place in the most uncooperative and oppressive of settings, while extraordinary and high level learning can happen in traditional-looking classrooms with nailed-down seats in rigid rows."

Individual Growth. In true communities, individuals become the benefactors. Individuals grow in a climate of support and security. The exchange of ideas fosters a dialogue that challenges this growth and provides a sustaining force for the individual's development. Within a sustaining community, individuals progress in their development. They move from feelings of support to a sense of security. This increase in trust brings about deepening friendships and high levels of enhanced learning. Their knowledge of content increases as does their knowledge of self. Through affirmation and feedback, individuals become more aware of their own values and develop a deepening understanding of their own purposes.

Learning Communities

Learning communities are concerned with growth and continuous self-renewal of both individuals and organizations. The leader is, therefore, responsible for *building organizations* where people are continually expanding their capabilities to shape their future—leaders are responsible for learning.

PSEL 6, 7

Linda Lambert,[7] in *Building Leadership Capacity in Schools,* states that leadership for learning is a collective responsibility. She defines leadership this way: "The key notion in this definition [of leadership] is that leadership is about learning together, and constructing meaning and knowledge collectively and collaboratively."[8] Learning organizations never "fully arrive," for their tendency is to search continually for new possibilities and opportunities for growth. An organizational context, such as the brain metaphor discussed in Chapter 1, enables the organization to assimilate and store past knowledge, but also to construct new knowledge through the shared experiences, ideas, and perceptions of all group members. Each individual group member becomes a resource of knowledge for all others, and the organization becomes a catalyst for thinking and learning.

Note, however, that *learning communities* do not evolve until a strong base of *community* is present. This is illustrated in Figure 2.1. As shown, support, security, and friendship form the foundation for knowledge acquisition. A major mistake made in many schools today

is attempting to institute learning teams without paying careful attention to the underlying foundation for collaboration.

Systems Thinking

PSEL 7

Many contemporary writers have presented their views of just what constitutes a learning community. Perhaps one of the most succinct definitions is that given by Senge,[9] who suggests that learning organizations are distinguished by five important characteristics:

1. *Systems Thinking.* In learning organizations/communities there is a connection between all aspects of the organization. What happens in one part affects all other parts. The uniting thread becomes the shared vision or purpose. Within true learning communities, there is also *reciprocity* of individual and group development and responsibility of each party to the other. Rather than independence or dependence, there is *interdependence* within the learning setting.
2. *Personal Mastery.* Knowledge is seen as an avenue for greater *self-awareness and understanding* that, in turn, fosters appreciation of others. Within true learning communities, there is recognition and appreciation of individual potential, and the opportunity to develop that potential is present.
3. *Team Learning.* In learning communities there is a *deliberate effort to* build settings in which true *dialogue* rather than mere discussion is the order of the day. School leaders (principals or teachers) eliminate the top-down *sage on the stage* perspective. The learning environment fosters meaningful connections within learning settings for faculty as well as students.
4. *Challenging Mental Models.* A climate of continual questioning, problem finding, and *exploration of possibilities* becomes the natural mode of operation within learning communities. This double-loop learning process becomes the basis for the transformation of current realities.
5. *Shared Vision.* In learning communities, all community members are encouraged to explore their beliefs and values, to test those values in the context of real learning experiences, to question "conditioned" assumptions, and to search for the common bonds of understanding that unite all members.

Mezirow[10] speaks of the learning that takes place in such settings as "transformational learning," for it is learning that changes the individual's perspective. As an example, a group might examine current school structure related to philosophy, policy, and procedures. Through dialogue, the group's members may then question the appropriateness of the structure for all groups and decide to take action to move the school toward a different direction.

Transformational Learning

Transformational learning produces a change in personal perspective and causes individuals to behave in different way. It differs from informational learning, which merely presents knowledge about a content area. Transformational learning is defined by Mezirow as learning that "uses a prior interpretation to construe a new or revised interpretation of the meaning of one's experience in order to guide future action."[11]

As transformational learning takes place, individuals proceed through a series of important steps. Through these steps:

- They examine past experiences in relation to the present situation (centrality of experience).
- They become aware of contradictions in their thinking (critical reflection).
- They change their assumptions based on dialogue with others (rational discourse).

This progression in thinking is brought about through collective inquiry in a nurturing environment, Mezirow[12] speaks of true learning communities as "holding environments." They provide group members with both support and challenge.

Nieto,[13] too, discusses the important role that collective inquiry plays in the learning process. She contends that children from minority backgrounds are not often exposed to a wide variety of viewpoints; therefore, they need opportunities to explore the views of others. This can be accomplished through collective sharing of experiences—known as *critical pedagogy.* In this process, "students use their experiences to extend their learning," and student voice is honored and used in the classroom teaching. Neito views empowerment as both "the *purpose* and *outcome* of critical pedagogy." She sees student empowerment resulting from a "redefinition of relationships between and among teachers and students, parents, and administrators."[14]

Within these nurturing or holding environments, individuals develop a deep sense of belonging and personal empowerment. But what exactly is empowerment, and what are the principles on which it is built?

Empowerment

PSEL 7

Empowerment is "the act of increasing either one's own or other's influence over life's circumstances and decisions. . . . It conveys a psychological sense of personal control or influence and a concern with social influence."[15] Not only does empowerment concern personal influence, but it also radiates from the individual a sense of self-actualized behavior that Maslow terms the *creative ego.*[16] Such behavior includes these characteristics:

1. *Openness to Experience.* The individual exhibits a lack of rigidity of beliefs, perceptions, and ideas. There is also a greater tolerance for ambiguity and a more receptive attitude toward possibilities.
2. *Internal Locus of Evaluation.* The individual exhibits an internal ability to self-evaluate and to rely on individual judgment in determining personal worth.
3. *Ability to Toy with Elements and Concepts.* The individual exhibits a spontaneous exploration of thoughts and ideas as well as a creative response to situations.
4. *Lack of Fear.* The individual exhibits self-acceptance and confidence and a greater willingness to venture forth and try new ideas.

What, then, can a principal do to enhance conditions that will facilitate such individual empowerment and, in turn, influence greater productivity within the organization? Rath and colleagues[17] have suggested three theories that might guide principals' actions. Those theories are the theories of needs, values, and thinking.

Needs Theory. As pointed out by such theorists as Maslow and Alderfer,[18] emotional security is a basic need that provides a foundation for other higher-level needs. Emotional security depends on the climate and conditions under which one works. Effective schools research is but one example of the literature supporting the need for a positive climate that allows for freedom of expression, risk taking, and exploration. Goleman[19] has discussed the important relationship between *interpersonal intelligence* and *academic achievement*, or professional success. According to Goleman, without the full development of emotional intelligence, academic growth will not be maximized.

Research on learning communities suggests that emotional security also develops most effectively when individuals feel that they have a support group. Learning communities seem to promote this sense of emotional security so necessary for empowerment to occur.

PSEL 1

Values Theory. A second theory that supports empowerment is the values theory. We have already discussed the importance of principals becoming aware of their own values and visions for education. Without a clear purpose and clarification of one's values, it is difficult to lead with *credibility* and to have the vision required for leadership. It is important that teachers and students also have opportunities to clarify their values and to share in development of the vision and purpose for the school. Opportunities for discussion groups, thinking meetings,[20] and values clarification activities can enhance the students' emotional intelligence and provide a closer bond between the students and the school. In chapter 6 on curriculum, we discuss this concept as part of humanistic curriculum theory. The concept is revisited in chapter 5 on school discipline, when we consider the formation of advisory groups and other counseling services. Teachers, too, should be provided opportunities to explore their values through such avenues as platform development[21] study groups, and work on school improvement plans.

Thinking Theory. We have previously discussed the importance of dialogue and critical inquiry to a sense of personal empowerment. Individuals, through this collaborative exchange, gain the support and challenge necessary for transformational learning to occur. Teachers gain the skills and confidence to assume leadership in school affairs when they are sustained in such holding environments.

Teacher Empowerment

Some leaders grant teachers "professional authority" based on "seasoned craft knowledge and personal expertise" rather than relying on traditional authority based on a traditional power base. Sergiovanni has referred to this practice as providing "substitutes for leadership."[22]

Sergiovanni considered the use of substitutes for leadership to be a moral leadership process whereby individuals are given the authority and responsibility to apply their own professional knowledge to the decisions that relate to their own educational responsibilities. It is a concept that treats teachers as professionals who operate from an intrinsic, or individual, view of their career. This value-added approach depends on four basic "substitutes" for leadership being in place:

1. *School Norms.* A shared covenant unites individual members in a committed effort to realize common values and beliefs.
2. *The Professional Ideal.* Organizational members accept their individual responsibility for student learning and for their own professional development.

3. *Collegiality.* Individuals collaborate in mutual support yet assume individual responsibility for their own growth and leadership.
4. *Rewarding Work.* Work is meaningful and individuals feel accountable for their own success and the success of their students.

Instructional Leadership

The original models of instructional leadership were driven by an effective schools concept that placed the school principal at the apex of learning. There is still relevance in considering the dimensions of that leadership as guides for establishing a shared leadership effort in which the principal serves as *a facilitator of the process.* As pointed out by Sergiovanni, what truly guides the direction of this process is centered in the "professional ideal" rather than in directives that come from a top-down perspective. All elements of the learning community must come together in a meaningful way before this can take place. Sergiovanni listed the following five leadership skills, or forces, available to principals as they facilitate a professional learning community.[23]

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1. *Technical Forces.* Technical forces include being a good manager and applying good planning, organizing, coordinating, and controlling techniques to ensure optimum effectiveness of the organization—for example, efficient office management practices, good scheduling techniques, and appropriate use of goals and objectives. Technical behaviors are basically the activities that would ensure good, efficient management.
2. *Human Forces.* These behaviors emphasize human relations skills, good motivational techniques, and good morale building within the organization. The appropriate use of participatory management is an integral part of these behaviors, which become major contributors to the climate of the school.
3. *Educational Forces.* External forces focus on the conceptual knowledge of education. Skills include the ability to diagnose educational problems, carry out the functions of clinical supervision, evaluate educational programs, help devise curriculum, implement staff-development activities, and create good individual educational programs for students.
4. *Symbolic Forces.* These behaviors demonstrate to others those things that the leader believes important and of value to the organization. They involve *purposing*—"that continuous stream of actions by an organization's formal leadership which has the effect of inducing clarity, consensus, and commitment regarding the organization's basic purposes."[24]
5. *Cultural Forces.* These behaviors focus on strengthening the values and beliefs that make the school unique. The leader attempts to build traditions of the school around those things most highly valued. This is done by sharing with others what the school most values; by orienting new members of the group—students, staff, and parents—to the values and beliefs of the organization; by telling stories of past glories to reinforce these traditions; or simply by explaining the standard operating procedure that is expected to be used.

The cultural forces of leadership bond students, parents, and teachers together as true believers in the school. A special sense of personal worth and importance grows out of membership in the organization. A deliberate approach to producing this sense of community is through the

establishment of professional learning communities (PLCs). We turn our attention to this aspect of school improvement and relationship building.

Professional Learning Communities

PSEL 7

PLCs are characterized by groups of people "who meet regularly for the purposes of increasing their own learning and that of their students."[25] DuFour[26] suggests that that there are three "big ideas"[27] or "core principles" that distinguish fully functioning learning communities. The first of these principles is "ensuring that students learn."[28] Emphasis should be placed on the learner: what he needs to know and how his learning can best be accomplished. The second principle, "A culture of collaboration,"[29] suggests that collaboration is not just a surface effort, but should foster a deep dialogue in which professionals practice inquiry and transformation to improve the functioning of the school. Finally, the third principle, "a focus on results,"[30] suggests that assessment of student learning should be used to build important structures to insure the learning of all students.

Servage[31] takes these core beliefs a step further by suggesting "1) that staff professional development is critical to improved student learning; 2) that this professional development is most effective when it is collaborative and collegial; and 3) that this collaborative work should involve inquiry and problem solving in authentic context of daily teaching practices."

PLCs can help to move leadership from a more directive, top-down approach (referred to in Chapter 1 as first-order leadership) to a second-order or more participatory model. As Servage suggests, the PLC model is characterized by a "democratic ideal" or "distributive leadership approach and "relationally bound" communities.[32]

PLCs have great potential to be instruments for the transformation of schools; however, Servage points to the dilemma that often hinders the fulfillment of this potential. She cautions that unless there is deep dialogue and a questioning of current practices, real transformation will not occur. Organizational transformation will only happen, she believes, if individual transformation takes place through a process of transformational learning.[33] (We discuss the concept of transformational learning more fully in Chapter 8.) Servage[34] leaves us with a word of caution:

> *So long as "data driven decision making: and "focus on student learning" are the exclusive concentration of collaborative work—and this concentration is almost entirely unchallenged in mainstream school improvement literature—we cannot expect much time or energy to be dedicated to the sort of critical reflection Mezirow advocates for transformative learning. This is an egregiously short-sighted and impoverished use of collaborative dynamics. . . .*

She encourages professionals to avoid focusing on "technical work alone" and instead to deal with the "underlying social and emotional dimensions of learning and working in groups."[35]

Leiberman and Miller[36] also point to particular challenges that must be dealt with if PLCs are to become effective vehicles for change. The first challenge is that PLCs often operate from a set of "norms and rules that are often in direct conflict with those of the schools in which they are located."[37] (In Chapter 1 we discussed the conflict between schools that operate as machines vs. those that operate as brains). The second challenge has to do with the "locus and control for the content and the process of the agenda of a learning community."[38] "As federal, state, and district mandates take prominence, concerns about teacher and student learning may be pushed to the bottom of the agenda."[39] The third challenge is time. As these authors suggest, "It takes time to

navigate the fault lines of differences in subject matter, approaches to teaching, gender, race, and ideas of privacy."[40] Finally, the last challenge is "sustaining a community that is an integral part of school in the face of rapidly changing demands on teachers, teaching, and learning."

High-Performance Organizations

PSEL 1

The phrase *high-performance organization* has now come into common usage. We first discovered it in an unfortunately obscure work by Marshall.[41] He described five conditions in schools that could be labeled high performing. Such schools have the following characteristics:

1. An outcome-based learning environment in which high standards of education, social development, and health are achieved by all learners
2. An outcome-based environment in which the system of instructional decision making and delivery responds to each learner's needs, interests, abilities, talents, styles of learning, and styles of living
3. An outcome-based environment in which curriculum assessment and human resources development are mutually reinforcing
4. An outcome-based environment in which the resources for learning are planned, focused, and managed by teams of educators with input from parents and other citizens
5. An outcome-based environment in which communication and community involvement are an integral part of the human resource and economic development of the community

Sergiovanni observed that in a high-performance school, the principal deemphasizes "top down hierarchies and detailed scripts that tell people what to do." Rather, the principal connects "people to outcomes rather than rules. . . . The key to effective leadership is to connect workers tightly to ends, but only loosely to means."[42]

Senge has offered a perspective and a structure for the improvement of the instructional processes that is consistent with this concept. His thesis is fundamental to principals who wish to lead their schools to new heights of performance. Senge described the skills needed to build what he labels "learning organizations." In such an organization, the leader's responsibility is to provide opportunities for the staff to engage in "generative" learning. As organizational members learn, their capabilities and perceptions expand.[43] In a similar vein, Cordeiro pointed out, "An organization that generates learning is able to grow and develop in an infinite number of ways. Most organizations are adaptive but not also generative. Schools have become proficient at adapting [others'] models."[44]

Others' models or another school's problem solution may not in any way appropriately address problems and challenges confronting one's own school. Adaptation may simply result in frustration and in a local problem not being solved. In the learning organization, people ask *why* a condition is the way it is and devise ways to address the "whys." The focus is on the problem, not on the symptoms.

Goal Setting

High-performing organizations are characterized by committed, energetic people who sit down together, examine problems confronting their organization, and figure out ways to overcome these problems. Tanner called this "breaking the bonds of isolation" and creating a

"climate of professional inquiry."[45] The principal's job is to facilitate this exchange by asking these questions:

- Why are we doing what we are doing? (a goals question)
- What are we doing? How are we going about achieving our goals? (a process question)
- Can it be done a better way? (an evaluation question)

Principals engage staff, students, and community in goal setting and problem solving because all are stakeholders and each, to one degree or another, has a contribution to make and responsibilities to assume for why things are as they are. Four assumptions guide the principal:

1. People at the working level tend to know the problems best.
2. The face-to-face work group is the best unit for diagnosis and change.
3. People will work hard to achieve objectives and goals they have helped develop.
4. Initiative and creativity are widely distributed in the population.

These assumptions undergird the high-performance organization.

It is axiomatic that any effective organization must have a clear sense of direction. Once developed, the goals need to be explicated by specific objectives, and the accomplishment of these objectives must be manifest in instructional activities in the classroom.

Well-understood, well-advertised goals for schools and classrooms are absolutely essential. School climate, consistency in decision making, and accountability for what happens in the instructional delivery system—three very different aspects of schools that aspire to high performance—result from the nature of the goals that are established and *the nature of the goal-setting process.* Stated simply, "The glue that holds together the myriad actions and decisions of highly effective principals . . . [are] the goals that they and their staff have developed for the school and a sense of what their schools need to look like and to do in order to accomplish those goals."[46]

Those who work collectively to construct and implement the goals for an organization may be part of what Wenger[47] refers to as a "community of practice." Communities of practice are formed through shared interest and mutual engagement. They arise when people have a passion for something that they do together. Through mutual engagement, they continue to learn. This shared learning is transformational in nature, for it not only enhances the learning of the individual, but it adds to the collective knowledge of the organization as well.

A Model for Instructional Leadership

Effective instructional leadership requires a complex set of relationships between principals and their beliefs and the surrounding environment of the school. The principal's values and previous experiences, as well as the expectations of the community and the institution in which the principal finds the school, all must be taken into account.

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Values and Beliefs of the Principal. What a principal values and believes should be passed on to all children and are what becomes the principal's contribution to the school. When principals are asked what they think is most important for children to learn, they will usually have a

particular area of interest high on the priority list about which they are most willing to talk. Most principals will emphasize basic skills as important. But beyond the basic skills emphasis, the priority list can become very diverse.

A principal's beliefs about the ability of all children to learn are extremely important. In most of the research about high-performing schools, principals have a strong belief in and commitment to the ability of all children to learn regardless of race, social conditions, or gender. These beliefs are extremely important because staff members will become attuned to what they believe the principal considers important. This contributes strongly to the establishment of a school culture characterized by high expectations for all.

Community Influences and Expectations. The local community also exerts great pressure on a principal's behavior. Principals of inner-city schools find a high percentage of their time being spent on student behavioral problems that are a direct outgrowth of community and domestic problems at home. High unemployment and high crime rates, poverty, and hunger directly affect the school and expectations for the school. The principal of the highly affluent suburban school is heavily influenced by community demands and expectations of high achievement. National Merit scholarships, high SAT scores, entrance into the Ivy League colleges, and the athletic stature of the school all become pressures on the principal.

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The demands and expectations for a school can change, however. Academic demands for a school can be expressed by a call for high test scores. Some communities will even demand academic excellence that goes beyond mere competence to call for the development in children of attributes such as arts appreciation, curiosity, creativity, interpersonal competence, problem-solving skills, critical thinking skills, strong work ethics, and communication skills.

Communities also influence a principal's behavior by their willingness to contribute resources directly to the school in the form of funds and services. If large amounts of money must be raised outside of regular revenue channels by such means as school-based fund-raising activities by children or volunteers, the funds often will be directed to particular interest areas. Parents and community volunteers contributing their time directly to various projects in the school program can be another major influence.

Good instructional leaders are able to harness the interests of the community, taking advantages of its strengths while at the same time focusing on its needs. Over time, an effective instructional leader will even mold the community's expectations for the school, changing satisfaction with mediocrity or special interests to expectations for excellence in the entire program.

Institutional Influences. Every school is influenced by the organization of which it is a unit. A local school is one part of an intricate network of units nested together into districts, regions, and states. The autonomy of the local school varies greatly from school district to school district and, interestingly, even within districts. All schools have mandates relative to federal, state, and local programs, but some principals are much more effective than others in tailoring these programs to meet the needs of their local schools. For example, in one school district the principal complained about the effort of the central office to impose a districtwide curriculum on his school; he cited how the district was presently highly decentralized, allowing the judgment of the local staff to prevail in curriculum matters. He went on to complain how imposing a districtwide curriculum would reduce his role to simply that of a curriculum manager instead of a leader.