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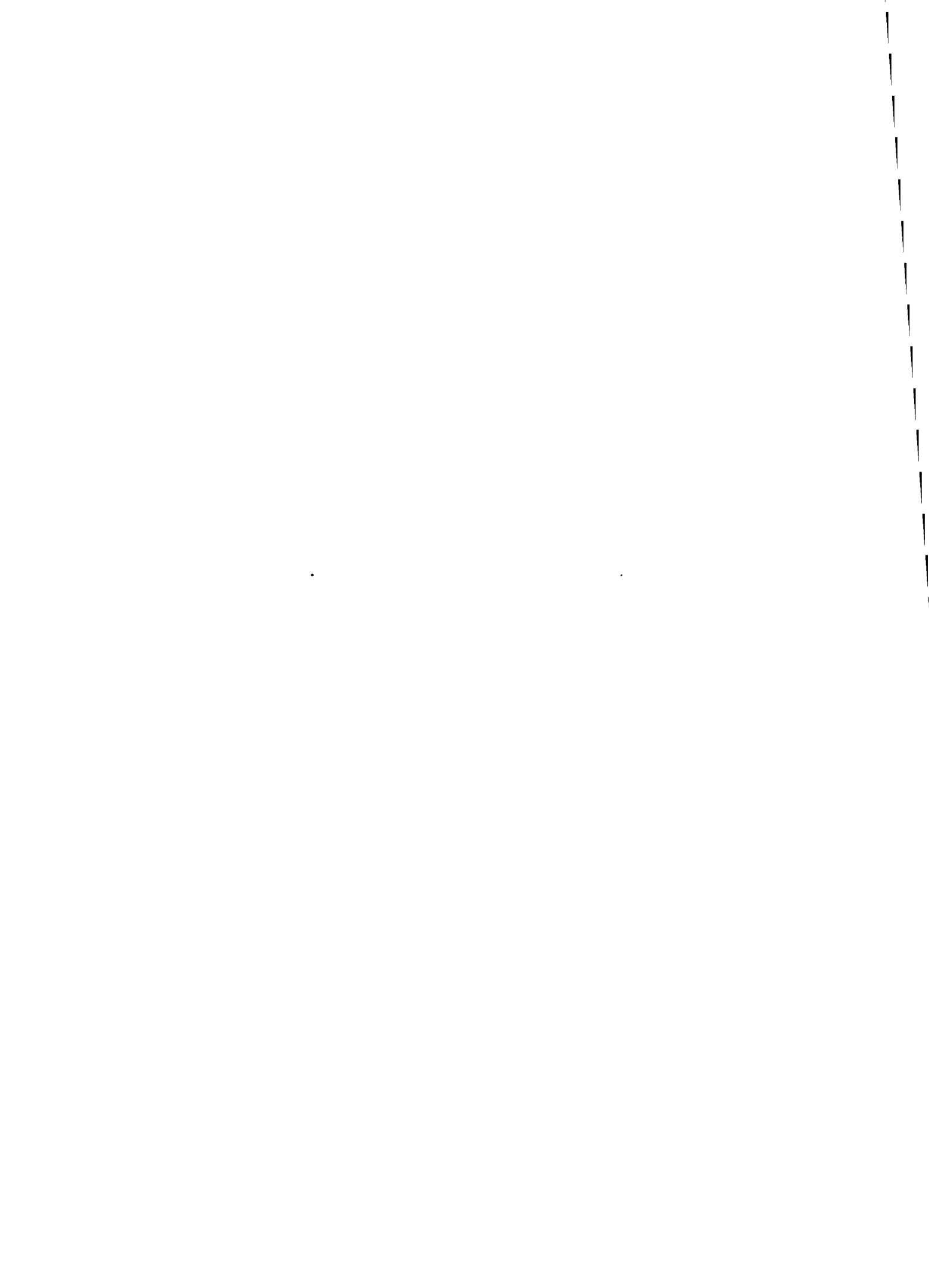
**Leadership types and second-order change**

**Crawford, Sherron Griggs, Ed.D.**

**The University of North Carolina at Greensboro, 1991**

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**LEADERSHIP TYPES AND  
SECOND-ORDER  
CHANGE**

by

**Sherron Griggs Crawford**

**A Dissertation Submitted to  
the Faculty of the Graduate School at  
The University of North Carolina at Greensboro  
in Partial Fulfillment  
of the Requirements for the Degree  
Doctor of Education**

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1991**

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APPROVAL PAGE

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The purpose of this study was two fold. The first segment of research was to determine the degree to which school superintendents in the state of North Carolina had successfully implemented second-order changes (defined as a restructuring or change of an existing system). The second segment was to determine if there was a consistent pattern of leadership types of those superintendents who had successfully implemented second-order changes as compared to those who had not successfully implemented second-order changes.

The superintendents who participated in the NC Institute of Government Superintendents' Executive Program, II (SEP II) were the representative population for this study. The Myers-Briggs Type Indicator, administered during SEP II, was the instrument used to determine leadership type of each participant. Each superintendent participant was then asked to complete a survey on types of changes implemented during his tenure as superintendent.

The main results were as follows:

- (1) Total superintendent responses indicated that 45% of all the changes which were identified as having occurred in their systems during their tenure were identified as successful second-order changes. Of



these major successful changes, 60% were said to have been initiated by the superintendent.

- (2) Two Myers-Briggs leadership types were consistently associated with a significantly high percentage of second-order changes within respective systems: ENTP with 75% and ENTJ with 50%. Each of these leadership types, however, was represented by only one respondent. Other leadership types identified less than 40% of all changes as successful second-order changes.

The major conclusions were as follows:

- (1) The majority of superintendents in the sample were similar in personality type and were not consistency implementing second-order change at a high rate. Data reflected that 72% of the superintendent respondents were from only 4 of the possible 16 leadership types. From this 72%, respondents indicated successful second-order change occurred in their system at an average rate of 21.8%-37.5%.
- (2) Some superintendents may have internalized specific external mandates and presented them as their own to the groups they lead or represent. Data reflected that this process occurred and may have increased the possibility of a change being viewed as successful.

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CHAPTER I  
LEADERSHIP QUALITIES AND  
SUCCESSFUL SECOND-ORDER CHANGE

It must be considered that there is nothing more difficult to carry out, nor more doubtful of success, nor more dangerous to handle, than to initiate a new order of things.

Machiavelli, The Prince

In 1983, the National Commission on Excellence in Education in its report, A Nation At Risk: The Imperative for Educational Reform, stated that the economic security of America was threatened by deteriorating public schools. Not since Sputnik in 1957 had American education come under such an assault. Unfortunately, the 1983 report was only one of many reports reflecting the attitude that American public education was in a state of decay.

In truth, public education is not in a state of decay as much as in a state of stagnation. The current system of public schooling took its present form in the 1890's---a few short years after the invention of the telephone. Today our society has the capability of communicating simultaneously with every person on earth (Martel, 1986, p. 31), yet the system of public schooling remains virtually unchanged.

Recently, however, there has been a public outcry reflecting the sentiment that the public schools of the

1890's simply do not satisfy the requirements of our current information based society. David Kearns (1988) of Xerox states,

...Public education has put this country at a terrible competitive disadvantage. The American work force is running out of qualified people. If current demographic and economic trends continue, American business will have to hire a million new workers a year who can't read, write, or count. (Kearns, 1988, p. 566)

Although most opponents of public education are not as critical as Kearns, there is little doubt that there is great concern over public education. Cuban reflected the feelings of corporate executives who have been key figures in the reform movement, stating, "If this nation wants a strong economy that can compete in the world marketplace, it needs schools that can give young people the attitudes, skills, and flexibility to fit into a changing job market" (Cuban, 1988, p. 571).

Since the 1983 publication of A Nation At Risk, there have been more than 275 educational task forces organized in the United States. In the last seven years, individual states have generated more rules and regulations about all aspects of education than in the previous twenty years. More than seven hundred state statutes affecting some aspect of the teaching profession were enacted between 1984 and 1986 (Timan and Kirp, 1989, p. 506). Darling-Hammond and Berry characterized these state-mandated reforms as "waves" (Orlich, 1989, p. 516).



The first wave of this reform movement set out to raise standards, increase accountability, lengthen schools' days and years, and generally raise the rigor of the existing American public education. Changes were incorporated into the routine functions of the existing operation of the school. This type of change where existing goals and structures remain untouched is described by Watzlawick et al. (1974) as first-order change. In first-order change, efforts are made to make what already exists more efficient and more effective, without disturbing the basic organizational features, without substantially altering the ways in which adults and children perform their roles. Those who propose first order change believe the existing structures of schooling are adequate, desirable and only in need of adjustment. (Cuban, 1988, p. 342)

Darling-Hammond and Berry describe the second wave of educational reform as focused on teacher-proof curricula; the next one stressed a return to the basics (Orlich, 1989, p. 516). Each of these reform efforts emphasized different approaches to existing goals and structures, or continued first-order change. Unfortunately, criticism has not only continued, but intensified. The message is becoming clear: first-order change is not enough. The next "wave" of school reform must produce strategic changes that restructure the way our schools are organized and operate (Kearns, 1988, p, 565-566).

The Carnegie Task Force report, A Nation Prepared, (1986) contains some of the strongest rhetoric regarding the need for fundamental restructuring, but this task force is not alone in the view that restructuring is essential. Writers like Boyer (1983), Goodlad (1984) and Sizer (1986) have all arrived at similar conclusions. At an NEA sponsored symposium in October, 1987, Sizer advised:

Challenge the regularities--the routines and activities that are so familiar they are habitual. We fail to even question them. There are many in school-keeping--curriculum, departments, grades, schedules, periods (those 53-minute snippets of time), and particularly the metaphor of giving an education...nothing is beyond questioning (Futrell, 1989, p. 14).

Futrell, former NEA president states,

...We've begun, at long last, to challenge the structure of schooling that has been with us for more than a century and is now obsolete. We are finally arriving at a consensus on the need for meaningful reform of U.S. schools ...(Futrell, 1989, p. 15).

This restructuring of the existing order--the change of a system--is called second-order change (Watzlawick, et al, 1974, p. 10-11). Second-order changes seek to alter the fundamental ways in which organizations are put together, reflecting major dissatisfactions with existing arrangements. Second-order changes introduce new goals, structures, and roles that transform familiar ways of doing things into new ways of solving persistent problems (Cuban, 342).

The works of Watzlawick et al. (1974), Buckley (1968), and Reilly (1989) indicate that in an equilibrial system, the main function is to maintain the given homeostatic condition and structure of the system and that true second-order change must be introduced from outside the system by an external force (in an educational system, state laws, legislation, reform acts, etc.). An equilibrial system such as a school system has no internal sources to initiate a change of itself--only to maintain the current status (Dalin, 1978). Therefore, the impetus for such a restructuring must come from the external environment (e. g. the reform movements). Unfortunately, the reform movements have, as Chapter II points out, had no consistent, specific, clearly articulated goals--a necessary characteristic for educational change according to Miles (1967) and Dalin (1978). Furthermore, in the opinion of this author, there is often no common language between the internal and external groups and virtually no trust factor. Since reform movements, strategies, etc. are imposed upon school systems in a seemingly random manner, with no particular focus, the system will automatically respond by adjusting in a deviation-counteracting way--a response which will internally equalize any externally imposed change so as to continue to maintain the homeostatic condition. Reilly (1989) points out that although external forces can mandate change, internal forces still have the power to impede,

delay, and in some situations, block the successful implementation of change by reacting in a deviation-counteracting manner.

It is becoming clear that the fate of the education reform movement in America still depends upon the willingness of public school educators to understand and embrace the proposition that fundamental restructuring of schools is necessary. If educators do not embrace this concept, the true second-order changes proposed will result in little more than cosmetic, first-order responses.

How can educators be convinced to embrace the educational reform philosophy? If educators have learned nothing else from the recent literature on America's best run businesses, they should have learned the importance of strong and visionary leadership at the very top of the organization (Bennis and Nanus, 1985). Without strong and visionary leadership, businesses have a difficult time maintaining direction, and so do school districts. Unfortunately, the significance of district-level leadership to the reform movement in education has all but escaped the attention of reformers and those who write commission reports. The primary group through which state policy, legislation, and reform information are made operational is local superintendents. The predominant linkage between the internal forces and the external change solutions must be the district superintendent. By necessity, the

superintendent acts as a regulator for change in that he/she is predominantly the communicator for the system and often has the power to control the flow of information which is transmitted in either direction. If the superintendent wants to maintain a homeostatic condition within the system, then he/she need only act as a deviation-counteracting agent: adjust the flow of information accordingly, "sabotage with paper compliance," thus aborting any true, long term change. In The Change Masters, Kanter (1983) states, "Any new strategy, no matter how brilliant or responsive will not stand a chance of being fully implemented--or sometimes, at all--without someone with power pushing it" (p. 295). Many opportunities for change have been lost because no one took the responsibility for moving the group ahead. Even assigning accountability does not always guarantee implementation if there is not a powerful figure concerned about pushing the accountable party to live up to the responsibility (Kanter, 1983, p. 296). Kanter describes these people as "prime movers." Prime movers who push a new strategy have to make clear that they believe in it, that it is oriented toward getting something that they want, that it is good for the organization (Kanter, 1983, p. 297).

This is especially important for changes that begin with pressures in the environment and were not sought by the organization. When change originates externally, in order for true change to occur, the drive for change must become

internalized, or prime movers cannot push with conviction, and the people around them can avoid wholehearted implementation (Kanter, 1983, p. 297).

When there is an external force imposing change on the organization, someone must take responsibility for internalizing that mandate and for providing clear leadership. The potential currently exists for a true Renaissance in education. Whether this opportunity is fulfilled depends on how fully leaders come to embrace change, to see it as an opportunity, and thus to stimulate the people in the organization to take action to master it (Kanter, 1983, p. 370).

In school systems in America today, district superintendents have an opportunity to be more than a prime mover. They have the opportunity to take the external mandates which provide the impetus for change of the system--the solution--prioritize demands, internalize the concepts, and articulate the highest ranking mandates to the internal groups for support and participation. Often this process will entail reframing attitudes toward the "solutions" imposed from external forces. Briefly, the process of reframing means a redefining of a problem in terms of the needs of the specific environment so that participants will conceptualize the situation "in another frame which fits the 'facts' of the same concrete situation equally well or even better, and thereby changes its entire meaning" (Watzlawick, et al., 1974, p. 95).

In order for true reform efforts to have lasting second-order change several things must occur:

- (1) External forces must mandate that a restructuring or second-order change is desired;
- (2) There must be a leader at the top of the organization who can take these mandates or "solutions" to existing problems and
  1. Prioritize and align the external solutions with internal goals and visions;
  2. Articulate these solutions in a language which educators can understand, support, and accept as their own;
  3. Move the system toward the desired second-order change;
  4. Serve as a communicator back to the external forces.

Obviously, to be successful, a superintendent must be more than a translator of concepts; more than a regulator of information; more than a prime mover of ideas. The successful superintendent of the future must be a facilitator for change. This person must be a leader who can create a climate which will encourage the beginning procedures and new possibilities, encourage anticipation of and response to external pressures, encourage and listen to new ideas from inside the organization (Kanter, 1983, p. 65), and unify all these various groups to work toward one

vision. The true facilitator of the future must be a master of change: he/she must be able to reorient his/her own, as well as others, activities in untried directions.

### Purpose and Significance

The purpose of this study is to determine if school superintendents in the state of North Carolina have successfully implemented second-order changes and, if so, is there a consistent pattern of leadership types of those superintendents who have successfully implemented second-order changes as compared to those who have not successfully implemented second-order changes. This study should be significant because

- (1) School leaders of the future will be faced with a great deal of change imposed from external forces;
- (2) In order to implement second-order change fully, an internal leader needs to be able to manipulate externally imposed change in such a way that the internal culture will accept the change as its own;
- (3) There is a need to analyze leadership types to see if there is one consistent pattern or several patterns of leadership types for superintendents who have successfully facilitated second-order change;
- (4) There is a need to develop a rationale to link change and leadership types so as to better



- predict and assure a superintendent's probability of success in situations characterized by change;
- (5) Until there is an understanding of change and leadership types and the interaction between them, the desired results will not be achieved.

### Questions to be Answered

- (1) What are the predominant leadership types possessed by North Carolina school superintendents who participated in the North Carolina Institute of Government Superintendents' Executive Program, II, as determined by the Myers-Briggs Type Indicator?
- (2) What type of change (first-order, second-order, or a mixture,) have these superintendents initiated and/or maintained during their tenure as superintendent?
- (3) Is there a pattern between the leadership type and successful second-order change as identified by the superintendent as being implemented during his/her tenure?

### Definitions

- (1) Leadership-A process in which an individual takes the initiative to assist a group toward goals, to maintain the group, to meet group needs and meet

certain demands of society (Morris, 1987, p. 9). The process by which a person influences the actions of others to behave in what he considers to be a desirable direction (Brubaker, 1976, p. 3).

- (2) Change-To make different, to alter; to initiate a new state, order, or structure in the existing structure. A redirection of organizational energies. Change is seen as a process, not a state; social change is without beginning or end, continuous, and flowing through time (Rogers, 1973, p. 76).
- (3) First-Order Change-A change from state to state where existing goals and structures of the organization remain intact. In first-order change, efforts are made to improve what already exists without altering basic organizational structures (Watzlawick et al. 1974, p. 9 & 10).
- (4) Second-Order Change- The change of a system; to alter the fundamental ways in which organizations are structured (Watzlawick et al., 1974, p. 10 & 11).
- (5) School Superintendent-The Chief Executive Officer of a school system or district; the person who holds full responsibility for the organization's success and reputation and is accountable for

overall results to a local and state Board of Education, to the community/society at large, and other external groups (legislature, State and Federal Department of Public Instruction/Education, etc.).

### Limitations

- (1) There was a small number of participants (eighteen responded out of twenty-two possible).
- (2) Responses were dependent upon the perceptions of superintendents as to type of change and success of change. Having the perceptions of others (particularly Board of Education members) would have been more desirable.
- (3) The survey instrument allowed respondents to use examples of change which had been instituted for only a brief period of time, resulting in the inability to see if the change will be a lasting change.

CHAPTER II  
REVIEW OF THE LITERATURE

Call for Restructuring

The literature on school reform was clear: the American people are no longer happy with their schools. Educational reform has been made a top priority in virtually every state. Even the American political system has turned with increasing intensity to the matter of quality education. The literature on school reform was abundant with a call, not just to improve education, but to actually restructure the current system of schooling in America.

With the 1983 publication of A Nation At Risk: The Imperative for Educational Reform, the alarm sounded for public education in America. This 65 page report, prepared by the National Commission of Excellence in Education, spotlighted a national system of schooling promoting "mediocrity" and contributing to the demise of America's position in world markets (National Commission of Excellence in Education [NCEE], 1983). In addition to attacking the general performance of public schools, the report recommended specific curriculum requirements and changes for public high schools: four years of English, three years of social studies, three years of math, three years of science, and one year of computer science for all students. They

also recommended more hours of instruction per day, a longer school year with upgraded textbooks, tracking of students (described as "placement and grouping...guided by academic progress of students") and alternative classrooms with programs and schools for disruptive students. The over-all tone from the commission was a clear interest in college bound students, especially students interested in science or business; job market productability was of utmost concern.

Teachers were also addressed specifically in this report. While the Commission felt that teachers were underpaid, they also stated that teachers were not using in-class time wisely and, generally, were not producing the desired results in students. The report pushed for higher standards required of teachers, as well as higher salaries, with definite rewards for teachers who perform above the average (merit pay).

Next came Action for Excellence (1983), a report by the Task Force on Education for Economic Growth, created by the Education Commission of the States to counsel governors. Basically, this report resounded the alarm with an "unusual sense of urgency." The report centered on the lack of adequate preparation for jobs found in high school graduates by employers: basic skill deficiencies in a majority of job categories, inability to "write a letter correcting a billing error," etc. This report, more general in nature than A Nation At Risk, stated that the only way to produce

students who could function well in the job market was to "establish firm, explicit, and demanding requirements concerning discipline, attendance, homework, grades." The emphasis and general tone was the schools' failure to produce students who would be desirable in the job market, thus causing a threat to the nation's economy.

The Task Force on Federal Elementary and Secondary Education Policy (1983) also forecast disaster for America unless there was a national commitment to excellence made by public schools. Like other reports, Making the Grade (1983), emphasized more requirements for students. This report indicated all students should acquire proficiency in a second or possibly third language. The report did, however, cite examples of a growing "underworld culture" and proposed federal stipends for two million students who have been unsuccessful in regular public schools to attend "small scale academies."

Educating Americans for the 21st Century (1983), was more of the same: condemnations and recommendations. This report by the National Science Board Commission of Precollege Education in Mathematics, Science, and Technology stated that half of the science instructors hired were "unqualified," not by certification standards, but by being deficient in knowledge. According to the report, most teachers came from the bottom half of their college classes; the majority of education preparation courses lacked any substance and tended to be the easiest courses on campus.

In addition to casting an accusatory finger at teachers, this report recommended that first graders spend ninety minutes per day on math and science. Because of this increased amount of time, the top 2% of students in the nation's public schools could be chosen at an early age and sent to one of 2,000 exemplary elementary and secondary schools specializing in math and science. Again, this report centered on the top segments of student population and pushed job preparedness for the nation's economy.

An in-depth look at America's secondary schools came in 1983 from Ernest Boyer and the Carnegie Foundation for the Advancement of Teaching. High School: A Report of Secondary Education, based on month long visits to various public high schools with enrollments from less than 300 to more than 5,000, deviated from the previous recommendations in that it disputed the idea that schools should be skewed to the needs of the work force. This report made liberal education for all a universal goal with the study of literature and history heading the list of required subjects. In addition, it recommended that all schools should emphasize clear writing, having high school students take at least one course demanding much written work and having each assignment commented on by teachers. Boyer emphasized that all students should participate in a single track of core curriculum--all vocational and "basic" tracks should be eliminated. Although he did discuss the

possibility of residential academics in science and math for gifted students, most of the book's tone was on the necessity of public schools to serve all students well, focusing on a core of common learning for everyone. Thus far, this was the only reform book which emphasized that education could contribute to a more interesting and thoughtful life--not just a more competitive one. The report recommended clear goals, mastery of language, core curriculum, single-track teaching, and counseling for students with private problems and career choices. For teachers, he recommended some federal scholarships, a 5th year of preparation time, more respect, better pay, no more than four hours of classes a day for secondary teachers, and less bureaucracy.

In 1984, Ted Sizer, former dean of the Harvard Graduate School of Education, published a book which also concentrated primarily on high schools. Sizer visited more than 50 high schools in 1981 and 1982 to gather information for this book. Horace's Compromise dealt with a semi-fictitious "Horace Smith," a secondary English teacher at a suburban high school who also worked at a liquor store at night. Sizer ignored the concept that merely setting higher standards for students would produce better graduates. Instead, Sizer examined the basic structures of the public schools, which resulted in a virtual indictment of the assembly-line education routine. In terms of teacher



examination, Sizer stated that the first attribute of a good teacher was to be able to evoke the respect of an assorted group of students and too often people who took up teaching lacked this quality. Teachers who were admired for their personal qualities got better student performances because their students made an extra effort. Knowledge of a subject is not enough to stir youngsters, especially when they are required to be stationary in a desk for hours on end.

None of the Commissions thus far had confronted the issue of the structure of schooling, but Sizer emphasized that our current system discourages any enthusiasm for real education in both students and teachers. Sizer argued that teachers want to teach students how to think, but that they must compromise ideals and accept mediocre learning because the school system provides such poor conditions for learning. Sizer made the following recommendations for improvement: implementation of the philosophy found in Mortimer Adler's Paideia Proposal, concentration on the mastery of the essentials of literacy, numeracy and civic understanding, adjustment of curricula and teaching arrangements to let teachers work one-on-one with students as much as possible, and reduction of curriculum to four large areas: inquiry and expression, math and science, literature and the arts, philosophy and history. Graduation would be determined by level of mastery rather than attendance and accumulation of credits; more coaching from

teachers and less telling (lectures); elimination of teaching loads of over eighty students per day; and mastery of English language before foreign language study. Sizer demonstrated his belief that a high school simply cannot be comprehensive; less can be more when one is learning to think. In summary, Sizer called for wholesale restructuring of our educational system.

At about the same time as Sizer's work, John Goodlad published A Place Called School, a study which had begun for Goodlad in 1975. Goodlad and his 43 associates approached 38 public schools and observed more than 1,000 classes 1-12, surveyed 27,000 parents, teachers and students. The result was a disquieting picture more in line with the tone found in Sizer than in other commission reports. Goodlad felt that before successful efforts were made to improve schools, efforts must be made to understand the way schools currently function. Goodlad concluded that schooling had changed little since it "moved indoors." Essentially, students sat at desks for five or more hours per day listening to an adult. Explaining and lecturing constituted most frequent teaching activities with teachers talking approximately 150 minutes per day, with only 7 of these minutes initiated by students; students listened, sat, and did assignments such as "filling in blank spaces in short narratives." Goodlad did not find students resentful or rebellious, but found that they dutifully attended and did lessons but that they

saw no purpose in what they were to learn and experienced little "emotional drain in order to preserve energy for other things." Teachers described their major problem as lack of student interest, which Goodlad described as passive resistance to the special brand of knowledge taught in high schools. This special knowledge has been evolved by educators, tailored to textbooks and segmented lessons: "dreary stuff usually presented in a 'flat emotional tone'." Goodlad referred to studies which stated that this current curriculum carries little impact on later life, does not contribute to job competence or satisfaction, later participation in civic and political activities or life enjoyment. Recommendations from A Place Called School included the following: society should not overestimate the number of adults who have an aptitude for getting through to children; at best, teaching is extremely demanding, therefore, the system must lighten the load for teachers. Public schooling should begin for children at the age of four and end for some at the age of sixteen. There is a need to redesign schools at all levels: there is no point in adding time to what is already unsatisfactory; make more efficient use of the present time with more creative and varied methods of teaching. Schooling must be improved school by school. Discontinue tracking systems which limit access to knowledge; completely restructure the curriculum so that students become involved in learning.

Larry Lezotte, director for the Center for Effective Schools, in a speech given in Raleigh, North Carolina, in November, 1989, stated that there are only two kinds of schools in the United States: improving or declining--there is no such thing as a steady state. If a school is not responding in a pro-active way to such changing demographics as more poor children, more children with special problems--such as learning disabilities--, more children from single parent households, then the school is declining. Current teachers are not now trained and equipped to handle this new student population. Lezotte cited several areas to blame: teacher education makes a mistake by not admitting that schools are an organization. If they send out a new breed of teacher, one at a time, he/she will become a "Joan of Arc." There must be major retraining of those already in the teacher ranks. Concerning curriculum, Lezotte refers to Drucker's (1967) theory that complex organizations often lack systematic procedures for the organized abandonment of anything. Organized abandonment must be in place for studies, concepts, approaches which are no longer useful. In the area of leadership, Lezotte directed the strongest recommendations and comments: in order for school improvement to take place, leaders (specifically principals and superintendents) must accept that the way they have always done things is no longer good enough; business as usual must be outlawed; leaders must be actively involved in

the change process. At the school level, the principal must provide a clear, shared sense of mission toward school improvement. At the district level, the superintendent must be the guiding force. Lezotte stated that he believed that the superintendent may be the weakest link in public schools today, yet little attention has been given to this crucial position in any of the reform/restructuring reports.

All the literature reviewed definitely reflected that public schooling, as we know it, is no longer satisfactorily meeting the needs of society. Most commission reports (A Nation At Risk, Action for Excellence, Making the Grade, Educating Americans for the 21st Century) concentrated on improving education for the economic sake of our nation: we must improve education to catch up with our competitors. All reports tended to stress academic or educational excellence, but differed in the means promoted to attempt to achieve this excellence (tracking vs. common curriculum, longer days vs. more efficient use of current time, higher standards vs. mastery learning for all, etc). All reports were highly critical of teachers and their ability to produce students equipped to successfully compete in the world economy. Without exception, all commission reports, all task force recommendations, all reviewed books concerning public schooling made one thing clear: public schooling is no longer meeting the needs of the American public. America's system of public schooling must be revamped, redesigned and restructured.

## Change

The literature on school restructuring clearly emphasized the demand for change in the current system of schooling in America. Unfortunately, the process of change is a very complex procedure, and educators have traditionally given only lip service to understanding the complexities of the process. However, with the increased attention given to education from the business, industry, and political arenas, educators can hardly continue to carry on with "business as usual" and hope that the desired change will somehow emerge. To achieve the type of outcome sought, a true understanding of the process of change is usually necessary. The literature was clear on this point.

The problem of change within an organizational setting (in this case, public schools), was examined by Seymour Sarason in The Culture of the School and the Problem of Change (1971). Sarason surmised that lack of knowledge of the culture of the setting is often a problem when the change initiator is external to the system or the culture. Unfortunately, internal initiators often have no real knowledge of the change process and view opposition as undesirable. As a result, possible "change agents" (whether internal or external) often involve themselves in self-defeating behaviors resulting in Sarason's powerful--if familiar--synopsis, "The more things change, the more they remain the same."

In 1974, Watzlawick, Weakland and Fisch published a book titled, Change: Principles of Problem Formation and Problem Resolution, which contained several concepts of change particularly appropriate for consideration given today's emphasis on restructuring of the system of public schooling. The basic premise in the book was that there are two types of change: first-order change and second-order change. First-order change was described as a change from state to state where existing goals and structures of the organization remain intact. In first-order change, efforts are made to improve what already exists without altering basic organizational structures (Watzlawick et al. 1974, p. 9 & 10). Explanation of the definitions can be enhanced by using concepts from The Second Cybernetics: Deviation-Amplifying Mutual Causal Processes (Maruyama, 1968). Changes which occur in first-order change actually help to maintain the current system by balancing deviations in the environment which elicit a need for a change. In other words, environmental factors occur which result in a need to deviate from the current status quo. A change is initiated to balance the deviation in the environmental factor, resulting in the basic structure of the organization remaining intact (Maruyama, Second Cybernetics, 1968). Second-order change, on the other hand, constitutes an actual change of the system structure. True second-order change alters the fundamental ways in which organizations

are structured (Watzlawick et al, 1974, p. 10 & 11). The basic understanding of second-order change relies on a general understanding of first-order change as well as the Second Cybernetics. In second-order change, when something in the environment produces a need for a change, attempts at first-order change are usually instigated in an effort to bring the system back into a homeostatic condition. If these minimal changes to the existing system do not produce the desired results, it may be, according to Watzlawick, et al., because the system itself needs to change in order to achieve the desired results. This change of the system itself is called second-order change. Usually second-order change is achieved by applying a solution to a [first-order] solution which in turn causes a change of the system. In this type of change there occurs a deviation in the environment; a solution may be applied to counterbalance the deviation, which results in first-order change or maintenance of the original system. In order to achieve second-order change when the outcome of this process is not the desired result, a different solution is applied to the [first-order] solution. This results in the original system becoming out of balance, which forces the system to change the basic structure. One way that this solution to an inappropriate solution could be implemented is through the process of "reframing." As discussed earlier in Chapter I, reframing means a redefining of a problem in terms of the



needs of the specific environment so that participants will conceptualize the situation "in another frame which fits the facts of the same concrete situation well or even better, and thereby changes its entire meaning" (Watzlawick, et al, 1974, p. 95). This concept of reframing is particularly important in that Watzlawick also states that for true second-order change to occur, external forces must mandate that a restructuring or second-order change is desired. Taken in the context of school reform, the restructuring movement has definitely resulted in external mandates for change for school systems. However, educators have a true opportunity to make restructuring not only occur, but occur with a meaningful result. By employing the concept of reframing, educators can take the external mandates for reform and instead of doing more of the same, can redefine and articulate the problem in terms of the specific environmental needs so that participants can conceptualize the situation and thus, support the solution to the "solution." In an age of restructuring and reform movements, Watzlawick's work definitely has far reaching, practical implications.

In 1978 another work was published which is also important to note in the study of educational change: Limits of Educational Change by P. Dalin. The first chapter of Dalin's work begins as follows:

Schools are created to maintain the social order. When attempts are made to change educational systems in ways that imply modifications in the role and function of schools in society, they can be successful only if the expectations of society are altered. Such alterations in the environment of the schools occur as a result of fundamental economic, social or technological changes. At the same time real changes cannot occur without the full involvement of the participants in educational institutions. (Dalin, 1978, p.1)

This one paragraph succinctly describes the current status of schools. While schooling has not changed significantly in the last hundred years, that stability was necessary in order to maintain the social order. Now, however, because of changes in the economic, social, and technological aspects of our culture, society's expectations for public schools have changed and the system of public schooling is ripe for a true restructuring. However, this true change, or restructuring cannot occur "without the full involvement of the participants in educational institutions," thus the importance of leadership, which shall be discussed later.

Although Dalin also emphasized the concept that most of the changes in the educational system have their causes outside the system, he also identified some specific reasons for failure of educational change innovations in the past which are applicable to either external or internal factors. These are as follows:

- (1) No systematic problem-identification process; it was not clear why the program was initiated;

- (2) Goals and benefits were unclear; not specific as to who would benefit; consequences were unclear;
- (3) A series of practical factors embedded in the setting and the environment made implementation and institutionalization less likely;
- (4) Failure to understand that educational change is time-consuming, energy-exhausting and often costly; no single easy plan for change;
- (5) Failure to view schools and the educational process as part of a complex social system;
- (6) Planning and developing educational innovations are not always the same as implementing change.  
(p. 7-9)

Dalin does cite that historically the educational system itself has had very little energy left for innovations and change, since most of its energy has been spent in maintaining existing structures and operations. Attempts "to plan and manage change within such a stable structure is a rather recent phenomenon in our history" (Dalin, p. 15). This again reflects the current status of different environmental expectations from society. Dalin categorized educational change into eight different areas which are as follows:

- (1) Technological: The use of technological alternatives in the means to achieve traditional goals;
- (2) Curriculum: Change in content of what is taught; innovations mainly concerned with curriculum, its aims, content, methods, evaluation, material, and internal organization of instruction;
- (3) Attitudes: Change in philosophical beliefs;

- (4) **Behavior:** Change in individual behavior; reorienting a skill; usually directed toward change of teacher behavior in order to bring about change in student behavior;
- (5) **Organization/Administration:** Innovations mainly concerned with the organization and administration of the educational system (also included here are control, finance, decision making, and general logistics);
- (6) **Social change:** The redistribution of power, resources, political control and opportunities within the organization;
- (7) **Roles and Responsibilities:** Change in individual role responsibilities (not change from one role to another but the change of structural responsibilities for particular roles);
- (8) **Objectives and functions:** Change in actual objectives, goals and norms of the institution or patterns of behavior that are perceived to be core or central to the institutional setting. (Dalin, p.20-22)

Dalin also cited specific barriers to change such as time, knowledge, resources, etc. from the following categories: value barriers, power barriers, practical barriers, psychological barriers.

Dalin cited the Rand Corporation's "Change Agent Study" (1975) for necessary dimensions critical to achieving change. They are as follows:

- (1) **Centrality:** The extent to which an innovation seeks to change the goals, norms, or patterns of behavior that are perceived to be core or central to the institutional setting;
- (2) **Complexity:** The extent to which a project proposes a relatively complicated far-reaching treatment and the extent to which that innovation attempts to affect behavior and attitudes of a number of groups within the institutional setting;

- (3) Nature and amount of change: Refers to the requirements made specifically on the individual participant, not on groups or units within the organization. The important aspect of the nature of change is the level of difficulty which an innovation presents for an individual implementor;
- (4) Consonance: The degree of 'fit' between the goals, values, and practices of an innovation and those of the adopting institution;
- (5) Visibility: The extent to which innovative efforts are observed or monitored by non-participants both within and outside the institution, i.e. the degree to which the pace of implementation and success or failure are public. (Dalin, p. 21)

These dimensions for change are extremely important when taken in light of these final comments from Dalin:

The understanding of what is a problem is to a large extent dependent on personal judgement aligned with professional role. The question, therefore, of 'who is deciding' is crucial. The 'ownership' problem of an innovation is significant, not only because it may illuminate why and how the innovative idea has been introduced, but also because it may tell us something about the possibilities of successful implementation and dissemination in the system...only the obvious but sometimes forgotten observation will be pointed out that the role and perspective of the policy maker in the innovation process, to a large extent will determine what 'educational change' means. (Dalin, p. 18)

Dalin certainly recognized the importance of internal leadership in any organization hoping to achieve true change.

In 1983, Kanter published The Change Masters: Innovation for Productivity in the American Model. Relying on her research and experience as a business consultant as

well as the works of organizational theorists, she defined change as a disruption of existing activities, a redirection of organizational energies that may result in new strategies, products, market opportunities, work methods, technical process, or structures (Kanter, p. 212). Using this definition, she examined why some corporations innovate and thrive under pressure and changing circumstances while others do not. She concluded that the answer lies in the managers of the firm--the CEO and his/her ability to be a "change master."

Like Watzlawick, Dalin, and Maruyama, Kanter acknowledged the importance of an external force "to initiate and implement an innovation...people need that extra bit of power to move the system off the course in which it was heading automatically" (p. 212). Kanter explored to a greater extent the importance of specific qualities of the leader as change master. The change master must have a history of the culture or an "awareness of foundations" which enables change to occur. These foundations for change must be articulated not only so that change will be possible, but also so the population affected will feel more secure and stable or grounded in the midst of change (p. 283). Although knowing and articulating certain histories are important, Kanter cited strategic planning, which has been the tool used to deal with change employed by most leaders and organizations in the past, as no longer

sufficient. While there will always be some need for strategic planning, which helps organizations feel in control of their future, the effective change master must rely more on an increased capacity for effective reaction. "The era of strategic planning (control) may be over; we are entering an era of tactical planning (response)" (p. 41).

Kanter stated,

Staying ahead of change means anticipating the new actions that external events will eventually require and taking them early, before others, before being forced, while there is still time to exercise choice about how and when and what--and time to influence, shape or redirect the external events themselves." (p. 64)

In order to accomplish this, leaders must encourage participation while maintaining leadership,

...keeping everyone's mind on the shared vision, being explicit about 'fixed' areas not up for discussion and the constraints on decisions, watching for uneven participation or group pressure, and keeping time bound and managed. Then, as events move toward accomplishments, leaders can provide rewards and feedback, tangible signs that the participation mattered. (p. 275)

Leaders must make it clear that they believe in the vision, that they want it because it is good for the organization (p. 297). Kanter stated that this is extremely important for changes that began with pressures in the environment and were not originally sought by the organization. "The drive for change must become

internalized even if it originated externally, or prime movers cannot push with conviction, and the people around them can avoid wholehearted implementation" (p. 297).

Kanter surmised that the tools of change masters are creative and interactive; they have an intellectual, a conceptual, and a cultural aspect. Change masters deal in symbols and visions and shared understandings as well as the techniques and trappings of their own specialties (p. 305). Innovation and change are bound up with the meanings attached to events and the action possibilities that flow from those meanings. But that very recognition--of the "symbolic, conceptual, cultural side of change--makes it more difficult to see change as a mechanical process and extract the 'formula' for producing it" (Kanter, p. 281).

This same concept had been previously identified by Brubaker and Nelson in "Pitfalls in the Educational Change Process" (1975). Brubaker and Nelson cited the following,

Some people make the mistake of viewing the educational change process as primarily a set of skills...Our experience with the educational change process has led us to believe that attitudes are of primary importance (Brubaker and Nelson, 1975, p.63).

Mastering Change: The Key to Business Success (1986) by Leon Martel also emphasized the decreased role of planning for the future, if the planners assume present conditions will continue. The new approach is to recognize that change is natural and to be expected, and that



continuity is unnatural and to be suspected (Martel, p. 11). While most of this book dealt with current and future business and economic conditions, Martel did deal with specific types of changes in an interesting way. Martel said that there are two distinct kinds of change: structural and cyclical. The cyclical is temporary and recurring, much like Watzlawick's first order change. Structural changes are permanent and irreversible. While Martel's definition of structural change agrees in part with other definitions of structural change which have tended to emphasize the formation of a fundamentally new state (second-order change), Martel also emphasized the irreversibility of this new state. In explanation, he stated,

There may be stability in the new state for some time, or there may be fluctuations of shorter-term cyclical changes, or there may be a continuing evolution to yet another new state; but there is no going back, no return to the prior state.

This is true because what is learned or discovered today--once it is made known and disseminated--is unlikely to be lost. It is also true because structural changes work together and reinforce each other, creating still further structural changes. Parts of the whole may stagnate or erode, but such developments will not undo the whole, which will continue to evolve. (Martel, p. 35)

Because most of the literature on change does not address this concept of irreversibility of structural change, it is an interesting concept.

The literature on change was intriguing and surprisingly compatible. Although Watzlawick et al. gave by far the most detailed definition of true change of a system (described as a comparison between first- and second-order change), other authors (Sarason, Maruyama, Dalin, and Martel) used the same concept, but with less description. Most of the authors (Kanter, Dalin, Watzlawick, Sarason) emphasized the importance of environment evoking a need for change and the importance of the initiator of change being external to the system (Kanter, Dalin, Maruyama, Watzlawick, and Sarason). Sarason, Kanter and Dalin stressed the importance of the role of the leader in any situation of a changing nature. These authors emphasized that the leader needs a knowledge of the culture (setting) in which he/she exists and is attempting to change. This is particularly important in the process of reframing (Watzlawick's coined word), which takes external mandates and reframes the factors concerning the desired (mandated) change, and articulates these factors in terms which are compatible with the goals, values and practices of the adopting organization. This process of having a "fit" between the innovation and the goals, values, and practices of the culture (described as consonance by Dalin) helps to provide a feeling of stability for internal groups and, thus, increases participation and ownership of the change or innovation by these internal groups. Once this process is

in place, the leader should articulate this "fit," thus, promoting participation, and ownership to groups both internal and external to the organization in order to keep the momentum for change. Dalin described this process as visibility. The difficulty of a leader being able to unite these different factions was acknowledged by Kanter, who stated that there was no clear formula or identified set of skills for leaders for implementing change. Brubaker and Nelson supported this concept and stated that the attitude of the leader was a significant factor.

Dalin identified six specific reasons for failure of educational change which are particularly important to note when considering the leader. Problem identification, clear goals and benefits, practical factors of the culture, an understanding that change is time-consuming, exhausting, and costly, an understanding that schools are complex social systems, and a true understanding of the process of change, are all concepts which a leader must understand in order to bring about true change.

Dalin went on to categorize educational change into eight areas: technological, curriculum, attitudes, behavior, organization/administration, social, roles and responsibilities, objectives and functions. Of these eight areas, some can easily be identified as examples of first-order change, some second-order change, and others could be either, depending on the particular situation;

again, this process demonstrates the interrelationships found throughout the literature on change.

### Leadership

The literature reviewed thus far has certainly emphasized the call for educational reform/restructuring or, a true second-order change in the structure of schooling. However, the literature has also stressed the importance of strong, appropriate leadership in attaining the goal of second-order change (restructuring) for public schooling.

Although the possession of leadership on the part of any organizational leader is generally defined as a job necessity, the literature did not reflect complete clarification of what a true leader is or should be. Stogdill supported this contention when he noted that there were almost as many definitions of leadership as there were persons who have attempted to define the concept (Stogdill, 1950, p. 13). In his massive review of the research, Stogdill asserted that certain behavioral characteristics were commonly found in leaders: ability to enlist cooperation, administrative ability, attractiveness, cooperativeness, nurturance, popularity, interpersonal skills, social participation, and tact. Task-related traits were also significant, as was the need for achievement, drive for responsibility, initiative, responsibility in pursuit of objectives, and task orientation. However,

Stogdill went on to say, "Fifty years of study have failed to produce one personality trait or set of qualities that can be used to discriminate between leaders and nonleaders" (Koontz, O'Donnell, and Weihrich, Management, 1980, p. 665.).

Nevertheless, it is difficult to disagree with Munson who defined leadership as the ability to handle men so as to achieve the most with the least friction (Munson, 1921, p.13). Allport, in 1924, defined leadership as the "direct face-to-face contact between leader and follower: it is personal control" (Allport, 1924,p. 26). Allport's definition of leadership came before the emergence of mass media, particularly television.

Moore saw leadership as the ability to impress the will of the leader on those led and induce obedience, respect, loyalty, and cooperation" (Moore, 1929, p. 129). Bundel put leadership in more persuasive terms: "Leadership is the art of inducing others to do what one wants them to do" (Bundel, 1930, p.342). Phillips said that "leadership is the imposition, maintenance, and direction of moral unity to our ends" (Phillips, 1939, p.46). Allen provided a straight forward definition. He saw the leader as "one who guides and directs other people."

John Gardner defined leadership as follows:

Leading does not mean managing....[There is a] need for moral, uplifting, transcending leadership, a leadership of

large ideas, broad direction, strong commitment. Leaders must offer moral leadership....They can express the values that hold the society together. Most important, they can conceive and articulate goals that lift people out of their petty preoccupations, carry them above the conflicts that tear a society apart, and unite them in the pursuit of objectives worthy of their best efforts. (Gardner, 1965, p. 3-12)

James MacGregor Burns in his Pulitzer Prize winning book Leadership (1978) stated,

One of the most universal cravings of our time is a hunger for compelling and creative leadership ....[Yet] we know far too little about leadership. We fail to grasp the essence of leadership that is relevant to the modern age and hence we cannot agree on the standards by which to measure. (p.1)

One examination of leadership which in some ways set the stage for future inquiries was Sarason's book, The Creation of Settings and the Future Societies (1972). This book presented an excellent analysis of leaders within various settings. Although a great deal of the book was devoted to discussion of the settings, of leaders, and the creation of settings by leaders, the most applicable sections of the book dealt with leaders' qualities and characteristics, and how leaders deal with their surroundings (settings) and the ever constant characteristics of the surroundings (problems, conflict, change, etc.).

Sarason's depiction of the leader and his reaction to his surroundings is especially interesting. In describing the leader, Sarason stated the following:

They are dreamers and doers, knowledgeable and ignorant, selfless and selfish, absorbed by challenge and bored by its absence,...convinced of their superiority and plagued by self-doubts, pursuers of the future and ignorers of the past, believers in the inevitability of change and resisters of the anticipation of its consequence. (p. 242)

Of prime concern is the contradictory qualities of the leader, as well as the leader's attitude toward and relationship with change. The leader must not be afraid of conflict, but must openly encourage it, addressing any problems which occur. Moreover, it is imperative that the leader promote, encourage, and demonstrate that each member of the setting (including the leader) should, in fact, must change through growth in order for the setting to effectively endure.

....And therein lies the basis for hope because the important and practical question does not concern permanency but rather the degree to which awareness of what can and will happen helps prolong the period of challenge and satisfaction. (p. 243)

According to Sarason, it is the challenge found in life which provides the satisfaction for the leader. It is not just the attainment of a goal that provides the contentment and individual growth, but the striving for the goal. Granted, the attainment of the goal serves as a type of self-renewal and, therefore, an integral part of the process, but the isolated attainment is insufficient for personal success. According to Sarason, it is imperative

that the leader encourage change and growth in himself, as well as others, in the path toward attainment. At the time one goal is accomplished, the growth and changes will be such that new goals will be manifested to the individual, thus providing new challenges and satisfactions. A leader cannot go through life constantly changing from one setting to another to afford himself a challenge; therefore, the challenge must emerge from the current setting, as a result of constant change and growth toward a better model.

Many of the theorists who followed Sarason, turned to business and industry for a model of leadership. One of the most popular and widely read books on leadership from a business and industry perspective was Peters' and Waterman's In Search of Excellence (1983). In this book, the authors described their observations and conclusions from studying 43 successful, well-run corporations. Peters and Waterman developed a list of eight corporate characteristics which they felt exemplified the spirit of the successful companies. The eight qualities possessed by the champions were as follows:

1. A bias for action;
2. Close to the customer;
3. Autonomy and entrepreneurship;
4. Productivity through people;
5. Hands-on, value driven;
6. Specialization, not diversification;



7. Simple form, lean staff;
8. Simultaneous loose-tight properties.

The authors consistently emphasized the leadership values of technical competence, action, entrepreneurial behavior, the ability to deal with ambiguity effectively, concern for the customer, and the importance of listening.

In 1985, Peters and Austin wrote a follow-up book; Passion for Excellence promoted the need for replacing management with leadership. The general description of a "superb business leader" was as follows,

...tough on the values, tender in support of people who would dare to take a risk and try something new in support of those values. They speak constantly of visions of values, of integrity; they harbor the most soaring, lofty and abstract notions. At the same time they pay obsessive attention to detail. No item is too small to pursue if it serves to make the vision a little bit clearer. (p. xx)

A simple model was presented which stated that for any endeavor to succeed, it must have (1) care of the customers, (2) constant innovation, and (3) turned-on people. In order for this to be achieved, the leadership must demonstrate each of these areas, as well as trust and respect for the dignity and potential of each person in the organization. There is no longer a place for the "members only" attitude among management. Instead, leaders must instill a sense of ownership and team spirit in all those associated with the organization. The exceptional leader must "live the quality

message with passion, persistence, and above all, consistency."

Bennis and Nanus continued to promote the differences between managers and leaders in their book Leaders (1985). "Managers are people who do things right. Leaders are people who do the right thing." The book outlined four "strategies" that leaders use to "take charge." These included: getting people to focus on a vision, communicating that vision by making it meaningful to others, establishing trust by being reliable and consistent and combining positive self-regard with regard for others. Specifically,

[Leaders] paid attention to what was going on, they determined what part of the events at hand would be important for the future of the organization, they set a new direction, and they concentrated the attention of everyone in the organization on it. (p.88)

Bennis and Nanus emphasized the "art" of leadership, in general, rather than technical skills appropriate to specific businesses and industries.

In the same year as Leaders, Leadership and the One Minute Manager (Blanchard, Zigarmi, and Zigarmi, 1985) was published. Leadership and the One Minute Manager presented a straight-forward approach to leadership, yet discussed why there is no one best leadership style. Authors Blanchard, Zigarmi, and Zigarmi described their model of leadership as "situational leadership." In situational leadership, a

leader evaluates the type of person with whom he or she is working and matches his or her leadership style with the person's level of development. The four leadership styles were as follows:

- (1) Directing: Characterized by a great deal of structure, direction, and close supervision;
- (2) Coaching: Characterized by direction and supervision, but also concentrated on support and praise to help develop self-confidence;
- (3) Supporting: Characterized by praise, listening, and facilitating;
- (4) Delegating: Characterized by little or no supervision; responsibility for day-to-day decision-making may be delegated from the leader.

The philosophy of this book is, "There is nothing so unequal as the equal treatment of unequals" (p.33).

Deal and Kennedy proposed an insightful slant on looking at leadership, change, and organizations in Corporate Cultures: The Rites and Rituals of Corporate Life (1982). These authors emphasized the importance of understanding the "culture" of an organization. Specifically, they stated,

The ultimate success of a chief executive officer depends to a large degree on an accurate reading of the corporate culture and the ability to hone it and shape it to fit the shifting needs of the marketplace....By and large, the most successful managers we know are precisely those who strive to make a mark through creating a guiding vision, shaping shared values, and otherwise providing leadership for the people with whom they work. (p. 18)

As is illustrated by this passage, knowledge and an accurate reading of the culture are particularly important during times of change. Without an appropriate alteration of the organizational culture (which provides stability and security for the people), change leaves employees confused, insecure, and often angry (p. 157). Culture itself is often the barrier to change; the stronger the culture, the harder it is to change. Yet, changing circumstances and environment can push even a strong culture into "poor alignment with its environment." Change is often necessary for survival (p. 159).

Of particular importance to this study is the following comment:

Changing the culture of an organization is a difficult, time-consuming, often gut-wrenching process. This is as true in public corporations as it is in the private domain. In fact, effecting such change in a public institution is, if anything, more difficult because of the number of legitimate constituencies--the public, legislators, unions, employees, special-interest groups--that can raise barriers to change. But change can be accomplished if a sufficient level of commitment is applied to the process for a long enough time. (p. 169-170)

The need to have a leader who has knowledge of and is adept at managing the culture of an organization and is at the same time committed to changing that very culture is imperative particularly for public institutions.

Cribbin touched on this concept of conserving some aspects of the old culture while changing other aspects of

the culture in order to provide a perception of security.

He stated,

Contrary to popular opinion, people do not fear, resist, or resent change. What they fear is the unknown, the unfamiliar, and the uncertain. What they resist is being forced to alter well-established habits. What they react negatively to is any perceived threat to their authority, status, security, or comfort zones. What they resent is being changed by others unilaterally, without the opportunity either to participate in planning the change or to contribute to it. Some people are not intellectually convinced that it is in the best interest of the organization. (Cribbin, 1981, p. 200)

Cribbin went on to state that with respect to change, there are four types of leaders:

- (1) Those who give lip service to the need to change;
- (2) Those who acknowledge the need but procrastinate;
- (3) Those who adopt half-hearted measures that tranquilize the situation temporarily without resolving it;
- (4) Those who analyze the situation and then cope with it. (p.195)

Cribbin indicated that the leader must look beyond the immediate problem to get at the basic situation. Leadership is an influence process that enables managers to get people to do willingly what must be done, do well what ought to be done, with the aim being, to produce results that surpass ordinary expectations of the organization. "A mere administrator can achieve average results. The leader gets superior results from average people" (p. 196).

In 1986, Horton took an interesting approach in What Works For Me. Sixteen chief executives who had records as successful change agents ("movers and shakers") were interviewed. No effort was made by the author to seek out a variety of personalities or backgrounds, yet each of the CEOs was unique in his/her leadership style. While there was no clear agreement on the ingredients of successful leadership, the most consistently recurrent quality identified from these interviews was "the willingness to pay the price." This phrase reflected intense motivation, a need to achieve, an inner willingness to pay the price of long hours, long days, mental and physical stress, grinding travel schedules, a degree of responsibility for the economic well-being of employees, loss of privacy, putting one's reputation at risk and guilt for neglecting spouses and children. They all had a burning need to be the top manager (p. 8).

In 1981, M. Maccoby took a similar approach in Leaders. Rather than have as a primary objective to define leadership in philosophical terms, he also chose to do an indepth study of six leaders and try to determine if there were traits, training, backgrounds, etc. consistent among the leaders interviewed. Maccoby discovered that the six leaders were different from the models of the past and although there were significant similarities among them, they did not represent a single model. They were "less charismatic and

narcissistic than past leaders and made fewer efforts to control others." The six had been influenced by different religious and political thought. There was no common pattern to their childhood experiences. All of the men in the study (five) had played on athletic teams. All shared a critical attitude to traditional authority. Some had fathers who were successful managers or businessmen; others did not. All were persuasive communicators and shared three qualities: a caring, respectful and responsible attitude; flexibility about people and organizational structure; and a participative approach to management, the willingness to share power. While all six shared basic personality traits of leadership which Maccoby felt were at least in part inborn (intelligence, ambition, will, and optimism) (p. 219-220), the author did state that some traits of leadership such as technical knowledge, communication skills, human understanding, fairness, and integrity were learned and must be developed (p.231). Maccoby felt a consistent need for all leaders of the future is a sincere understanding of people and the ability to articulate principles of moral conduct (p. 231). He went on to say that the education of leaders in our culture should include education in the humanities, including writing, speaking, religion, ethical philosophy, in-depth psychology, and history (p. 231). In current educational structures, the study of humanities is often sacrificed for more time devoted to other areas. To this end, Maccoby commented,

To maintain and develop the scientific tradition, we must further develop our humanistic values to struggle against the superstition, fear, and distrust that mushroom in the darkness of uncertainty (p. 231).

In 1984, Levinson and Rosenthal took a similar approach to examining leadership. In CEO: Corporate Leadership in Action, Levinson and Rosenthal interviewed six chief executive officers of major American corporations in an attempt to document specific characteristic leadership behaviors. Based on their previous research, the authors contended from the onset that,

Other factors being relatively equal, the most significant difference between one organization and another is neither sociological nor economic. Rather, it lies in a leadership style that gives direction, evolves structure, and allocates power. (p. 4)

By studying individual leaders, the authors hoped to elaborate certain common elements in practice, orientation, perception, and attitude that would help them understand leadership.

Although this work consisted primarily of interviews and summaries of those interviews, the first segment of the book dealt with basic beliefs concerning leadership held by the authors. These comments were particularly clear and insightful. On leadership, they stated,

Our point of view is that some leaders want to be leaders and see themselves as leaders. Other rise to the occasion. In either case they see what has to be done and they do it. They provide stability and



support while defining goals and providing reassurance ....Leaders state needs, formulate goals, and institute realistic methods for reaching them. They inspire and help others formulate goals, and institute realistic methods for reaching them. They inspire and help others develop competencies they need to serve the organization effectively. Managers become leaders when they learn to take a stand, to take risks, to anticipate, initiate, and innovate. (p. 12).

And,

Leaders enjoy conceptualizing, projecting, fantasizing. Where others dread ambiguity, leaders welcome it, seeing opportunities to shape new direction. True leaders are not afraid to take over a failing unit or company, embark on a risky long term venture, or face a sea of conflicting pressures: they welcome the challenge. And they know full well that safe ventures quickly go stale and never lead to significant success. (p.13)

The authors found that while formal training was important, personality factors were clearly crucial. Those who were at the top of their classes, whether in military academies or business schools, did not necessarily become the most successful leaders or the most competent practitioners of leadership (p. 7). Although the leaders had developed effectiveness in projecting strong ego, most were plagued with a degree of self-doubt from time to time. The authors were surprised by the amount of time the executives spent as "teachers," developing other people and ensuring succession.

The overall conclusions from this research were summarized as follows:

1. Strong leaders are necessary, particularly for organizations that must undergo significant change. Not good managers, or executives, but strong leaders.
2. Leadership that builds changing organizations into larger and better social instruments will not achieve its ends by consensus. By permission, yes. That permission is obtained in many different ways from many different groups and particularly by the creation of identification with the leadership. But consensus, no.
3. The leader must have a highly developed capacity for abstraction, for vision, and the strength to take charge. He must pull his organization into the future.
4. The leader must be not only strong enough to be an identification figure but also attentive enough to detail to be on top of things. He must always fight the tendency to overcontrol but, in formal organizations, he cannot hang loose without creating chaos.
5. When one is in love with one's work, then the extraordinary hours are like play. (p.289-290)

Obviously, the authors' conclusions continue to emphasize the illusiveness of specific skills and the importance of a multifaceted leadership ability and personality. This concept had been of interest to psychologist Harry Levinson for quite some time. In 1980 he published "Criteria for Choosing Chief Executives" in the Harvard Business Review. In the article, he stated,

A good executive is multifaceted like a diamond. The larger the number of facets, the more brilliantly it shines. Some facets are larger, some smaller. And not all diamonds have the same number. But all facets are part of a whole diamond, which ultimately focuses the light passing through the facets to a single integration point. (Levinson, 1980)

This multifaceted ability is of particular importance to the executive (leader) of the future, due to the dramatic changes in a society moving out of the industrial age and into the information age; the old management techniques of leadership may not be appropriate.

Cleveland's The Knowledge Executive: Leadership in an Information Society (1985) also expounded on this topic of leadership for a new era. According to Cleveland, not only should the role of the generalist be more important than the role of the specialist to the leader, but also attitudes received more emphasis than skills. "Every person who seeks or assumes the role of executive leadership in an information-rich society must develop the aptitudes and attitudes of the generalist" (p. 4). While Cleveland acknowledged the importance of skills, his concentration was certainly on attitudes.

Attitudes are the steepest part of the generalist's learning curve. Survival and growth in the get-it-all-together profession...requires a mind-set that is, by and large, neglected in our education...[yet] indispensable to the management of complexity" (p. 5).

The following attitudes were listed as indispensable:

- (1) The notion that crises are normal, tensions can be promising, and complexity is fun;
- (2) A realization that paranoia and self-pity are reserved for people who do not want to be executives;

- (3) The conviction that there must be some more upbeat outcome than would result from adding together expert advice; and
- (4) A sense of personal responsibility for the situation as a whole. (p. 5)

According to Cleveland, the leaders of the future must demonstrate the upbeat, can-do spirit of generalist leadership. While they will surely know enough about enough subjects to be called "experts," they must be able to use, yet transcend, these specific knowledge areas in order to view the "whole picture," clearly seeing the areas which would most likely contribute to the desired outcome appropriate for a new era.

Hickman and Silva emphasized this emergence of "New Age" skills in their book, Creating Excellence: Managing Corporate Culture, Strategy, and Change in the New Age (1984). The Preface of the books begins,

If we had to choose one essential characteristic of what we call the New Age, that characteristic would be change. Until fairly recently executives operated with the assumption that they enjoyed limitless resources and plenty of time to build profitable enterprises, but today's finite resources, new technology, and accelerating change are placing unprecedented pressure on every organization. Only those leaders who learn to anticipate and even invent the future will profit from, rather than be surprised by, change. (p. xii)

The authors specifically cited managerial skills most business schools teach, and went on to say that while these may have worked in the past, they are no longer sufficient.

In order to achieve excellence in the future, leaders must learn to transcend the past with the following New Age skills:

- (1) Creative Insight: Asking the Right Questions;
- (2) Sensitivity: Doing Unto Others;
- (3) Vision: Creating the Future;
- (4) Versatility: Anticipating Change;
- (5) Focus: Implementing Change; and
- (6) Patience: Living in the Long Term. (p.31-33)

The importance of having the right leader with the right set of "skills" was acutely emphasized in the following quotation, the philosophy of which was reiterated throughout the book:

Individuals, not organizations, create excellence. With their unique skills they lead others along the pathway to excellence, carefully cultivating those who will later assume the controls. To groom future leaders successfully, the mentor makes sure he passes on both his gift for strategy and his flair for building a strong corporate culture. (p. 25)

The importance of individual leadership for organizations of the future and the importance of the relationship of the individual leader and change was often emphasized in the literature. Waterman stressed these relationships in The Renewal Factor (1987). Waterman stated, "In today's business environment, more than in any preceding era, the only constant is change" (p. xv). And,

"[Individual leaders]...know how to retain the best of the past and still change with the times. They are a fine example of renewal" (p.1). The authors went on to examine the concept that renewal requires a constant interplay between stability and change and the importance of the leader in providing for both stability and change.

Most of us fear change. Even when our minds say change is normal, our stomachs quiver at the prospect. But for leaders and managers today, there is no choice but to change. Every business has been profoundly affected--and some industries radically altered--by the forces of oil slicks, global competition, deregulation, takeovers, and spinoffs. Managers in the nonprofit sectors have experienced comparable shocks--reduced funding, new technologies, increased demands for accountability to their constituencies. A manager must build the renewal factor into his or her organization to keep the competitive edge. (p. 338)

Although Waterman stressed the importance of a leader developing a renewal factor for the organization based on change and stability (conservation), Peters took the importance of a positive relationship between the leader and change one step further in his book, Thriving on Chaos (1987). Subtitled, Handbook for a Management Revolution, this work espoused the philosophy that the successful leader of the future must not only welcome and encourage change, but actually be renewed by and thrive on the chaos which often accompanies the moving from one era to another. "Today, loving change, tumult, even chaos is a prerequisite for survival, let alone success" (p. 45). Peters compared

the old style leadership (characterized by detached, analytic, centralized strategy planning, driven by corporate staffs) to what the new leader must be: Leader as lover of change and preacher of vision and shared values (p. 43). This entire book emphasized the importance of leaders of the future having an ability to deal with the paradox.

Today's successful business leaders will be those who are most flexible of mind. An ability to embrace new ideas, routinely challenge old ones, and live with paradox will be the effective leader's premier trait. Further, the challenge is for a lifetime. New truths will not emerge easily. Leaders will have to guide the ship while simultaneously putting everything up for grabs, which is itself a fundamental paradox. (p.391)

One of the most interesting perspectives on leadership was found in The Leadership Factor (1988), by Kotter.

Kotter defined leadership as

...the process of moving a group (or groups) in some direction through mostly non-coercive means. Effective leadership is defined as leadership that produces movement in the long-term best interests of the group(s). (p.5)

Kotter emphasized that the need for effective leadership has grown considerably due to the competitive intensity brought about by changes in society and the world market. In order to deal effectively with these changes the leadership style of today and tomorrow is, of necessity, different from previously promoted styles. Leadership for the future is a leadership flexible enough and broad enough to create a

vision for the future that takes into account the legitimate long term interests of the parties involved in the activity; of developing a rational strategy for moving toward that vision; of enlisting the support of the key power centers whose cooperation, compliance, or teamwork is necessary to produce that movement (p. 25-26). This network of support consists of people on the outside as well as the inside of the organization.

Specifically, Kotter proposed the following as a partial listing of requirements for effective leadership:

**Organizational Knowledge**

Broad knowledge of industry (market, competition, product, technologies)

Broad knowledge of the company (the key players and what makes them tick, the culture, the history, the systems)

**Relationships in the Organization**

Broad set of solid relationships in the organization

**Reputation and Track Record**

Excellent reputation and a strong track record in a broad set of activities

**Abilities and Skills**

Keen mind (moderately strong analytical ability, good judgment, capacity to think strategically and multidimensionally)

Strong interpersonal skills (ability to develop good working relationships quickly, empathy, ability to sell, sensitivity to people and human nature)

**Personal Values**

High integrity (values all peoples and groups)

**Motivation**

High energy level



Strong drive to lead (power and achievement needs backed by self-confidence) (p.30)

Kotter not only identified these characteristics, but also attempted to determine their possible origins. His conclusions were as follows:

- (1) Some of the leadership attributes seem to arrive at birth: some basic mental and interpersonal capacity, and perhaps some physical capacity that is related to energy level. Other attributes build off that native capacity (for example, some intellectual skills would not develop without some minimum intellectual capacity).
- (2) Some of the characteristics are undoubtedly developed relatively early in life. Values, motivation, certain abilities and skills often fit this description.
- (3) Few of the attributes seem to be developed by our educational system. Aside from some narrow intellectual skills, none of the characteristics are systematically developed to any significant degree in most schools.
- (4) A surprisingly large number of the items are developed on the job as a part of one's posteducational career. Almost all the knowledge, relationship, and background requirements fit this generalization, as do some of the skills, abilities, and motivation.

Actually, "It was the accumulative effect of those many experiences that gave them the assets needed for leadership" (p. 34). If one accepts this proposition, the prospect of identifying individuals possessing leadership for the future becomes acutely more difficult. Rather than center on a list of specific skills, a person must look for a pattern of behavior which would tend to indicate existence of not only

the necessary skills, but also needed personal qualities such as attitudes and values.

The literature on leadership presented an evasive picture. There was very little consistency as far as a definition or list of specific skills necessary to ensure the success of a leader. Most current theorists promoted to some degree the value of having a vision and being able to articulate that vision in such a way as to inspire and motivate their followers toward that vision. Deal and Kennedy, Peters and Waterman, Sarason, and Kotter emphasized the importance of the leader knowing the culture and promoting the morals and values of that culture. The importance of being "people oriented" was throughout most of the literature. The two most interesting areas of the research on leadership, however, were (1) the illusive quality of leadership and (2) the leader's relationship with change.

Stogdill set the stage when he said that no one personality trait or set of qualities could be used to discriminate between leaders and nonleaders. Burns made reference to the "essence of leadership" and Sarason gave a quotation exemplifying the contradictory nature of leadership. Bennis and Nanus discussed the "art" of leadership, while Blanchard, Zigarmi, and Zigarmi made the straight-forward assertion that there is no one best leadership style. Kotter said that some leadership

qualities were in-born, others developed in early life, while many others were developed in post-education days. The result, according to Kotter: Leadership is an accumulative set of qualities which begin to build from birth. This concept of cumulative qualities for leadership is also supported by Levison and Rosenthal who said that the determining factor was not a set of skills, but individual personality. Cleveland also supported this concept when he said the determining factor was attitude.

The other interesting concept found throughout the literature was the necessity of the leader of the future to have a positive attitude toward change. According to Hickman and Silva the "one essential characteristic of...the New Age...would be change....Only those leaders who learn to anticipate and even invent the future will profit from, rather than be surprised by, change" (p. xii).

Sarason emphasized that the leader must not only be unafraid of conflict, but must also be able to inspire change through growth for self and others. Renewal comes from the attainment of goals and challenges found in the setting. Waterman also emphasized the renewal found through change in The Renewal Factor (1987), and Peters went so far as to say that the successful leader of the future must actually "thrive" on chaos.

Deal and Kennedy stressed the importance for the leader to retain some aspect of the old culture while actually

changing that culture. These two authors also emphasized the difficulty of changing institutions--particularly public institutions--primarily because of the strong culture.

### Summary

If the conclusions found in the vast array of educational commission reports are accurate, the American educational system is failing dismally. All the literature reviewed surmised that the public schools are no longer meeting the needs of society. Generally, schools are deeply steeped in the culture of the past. This was previously necessary because schools were expected to not only maintain the social order, but to pass the social order on to the next generation (Dalin). Our society, however, has moved from an industrial age to an information age and has changed economically, socially and technologically to the point where the expectations of schools by society have been altered. For the past 100 years, schools have educated the general population in "basic skills," and a general social order, but the basic skills promoted in the public schools today are no longer sufficient preparation for successful participation in the new society and the social order promoted by the current system of schooling is no longer in existence. Thus, the environment and the schools are no longer aligned. Factors external to the organization of schools have called attention to this mis-alignment and

recommended possible "solutions" to the problem through the numerous commissions and reports.

It is important to note that the commission reports, reform movements, etc. are virtually all external to the system of schooling (a necessity for true second-order change, according to the literature), and that they are calling for restructuring (second-order change), rather than merely a change of the existing system (first-order change). First-order change means that the structure itself is appropriate and in need of only slight or minimal alterations. Second-order change means that the structure and the environment are so mis-aligned that minimal alterations will not achieve the desired results (Watzlawick et al.); the organization must be restructured in order to actually achieve alignment with the environment.

[It is also important to note that while the commission reports and general reform literature call for a "restructuring," the vast majority of recommendations and strategies for achieving this "restructuring" actually call for "more of the same": more required courses from courses already in the current curriculum, more hours of instruction, a longer school year, "alternative" classrooms for disruptive students, advanced area classes for gifted students, higher standards for teachers, more emphasis on basic skills, better discipline, better attendance, more homework, and the list goes on. With the possible exception

of Sizer and Goodlad, all of the "reform" reports actually gave recommendations which might improve the current system but would certainly not establish or create restructuring, if this restructuring is defined as a creation of a structure with new goals and expected outcomes.]

Although the literature emphasizes that this original call for restructuring must come from a force external to the system (Dalin, Watzlawick, Kanter, Maruyama, Sarason), the literature also emphasized the importance of internal leadership during times of change. Most of the literature on leadership centered on the importance of the person at the helm of the organization--the Chief Executive Officer (CEO). For the school system, this CEO would, of course, be the school superintendent. Unfortunately, very little significant literature from either school reform or leadership in general was centered on the school superintendent. The assumption is made that the general comments on leadership for the CEO of a corporation would also apply to the CEO of a school system. Given this assumption, a model for the role of the superintendent becomes increasingly important.

Mandates calling for the restructuring of the public school system have been made from external forces: legislators, community, business and industry. The school superintendent must reframe these mandates in terms of compatibility with the broad long-term vision and goals of

the organization or school district (Watzlawick, et al.). Once these mandates are reframed, the superintendent must articulate the reframed mandates to his constituents in terms of the goals, values and practices of the institution. In addition, the superintendent must systematically identify the specific problems and categorize these within the established framework of a long-term vision supported by mandates which address specific problems within the system.

The superintendent must understand the process of change (Sarason), as well as, have a knowledge of the culture/history of the setting (Sarason, Deal and Kennedy, Dalin), or what Kanter calls "an awareness of the foundations." The leader must be able to articulate and maintain some aspects of this culture so affected populations will feel more secure and stable or grounded in the midst of change (Kanter, Deal and Kennedy), yet be able to anticipate new actions that external events will require so there will still be an element of choice.

At the same time, the superintendent must be able to identify the vision for the system, articulate that vision in relevant terms to numerous and varied audiences both internal and external to the system, and thus, motivate and inspire those audiences toward that vision.

While the literature was relatively clear on what a leader of the future needs to be able to do, particularly in the area of change, the literature was less clear on what

specific skills or training would enable a leader to perform those tasks oriented toward change, or what qualities or leadership style a Board of Education should look for in a perspective superintendent.

Much of the literature emphasized that there was no one set of qualities which could discriminate between outstanding leaders and nonleaders (Stogdill, Sarason, Blanchard, Zigarmi, Zigarmi, Burns). Kotter said that leadership was an accumulative set of qualities which begin to build from birth. This concept of cumulative qualities for leadership was supported by Levinson and Rosenthal who said that the determining factor was not a set of skills, but individual personality. Cleveland and Brubaker and Nelson also supported this concept when they stated that a determining factor in the ability to master change was individual attitude.

The time is ripe for true change. The call for restructuring is definitely in the literature: attention is on the system of schooling as never before. Without question, the central focus in any effort to restructure a school system must be on the school superintendent and his/her willingness and ability to take the quantum leap to promote true change of a system rather than continue to support and maintain the existing, stable (if obsolete) structure.



### CHAPTER III

### METHODOLOGY

#### Subjects

The subjects of this study were participants in the Superintendents' Executive Program, a component of the Principals' Executive Program, the longest running in-residence management program for school administrators in the nation. Two sessions for North Carolina superintendents have been completed. Participation in the Superintendents' Executive Program (SEP) was open to all acting superintendents and was completely voluntary. The most recently completed program for superintendents (SEP II) ran from October 10, 1988, through March 21, 1989. This session was composed predominantly of acting superintendents, with one regional center director and a limited number of assistant/associate superintendents. The 22 superintendents who participated in the 1988-89 session of the Superintendents' Executive Program were the subjects of this study and can be considered representative of superintendents in the state. They were all voluntary participants and represented all educational regions of the state.

Of the 22 superintendents, all were male; 13 (59%) had doctorates, 9 (41%) had specialist degrees; 7 were from city

systems, and 15 were from county systems. The size of school systems represented ranged from 1,088 students to 20,883 students.

### Instruments and Procedures

The first instrument used was the Myers-Briggs Type indicator, form F, by Katherine C. Briggs and Isabel Briggs Myers. This instrument was based on the work of C. G. Jung, a Swiss psychiatrist who studied individuals' behaviors. This instrument does not attempt to measure individuals, but to "sort" them into groups according to their personality types.

There were 166 items on the instrument. These items were written in a format which forces test takers to select one response from a possible two or three choices. There were no right or wrong responses; the responses described preferences, not skills or abilities, and all preferences were considered equally important.

From the forced choices, a raw score was obtained which indicated a person's preference in four separate areas or dichotomies:

1. Where a person prefers to focus his/her attention: either Extraversion or Introversion;
2. How a person acquires information: either Sensing or Intuition;
3. How a person makes decisions: either Thinking or Feeling;

4. How a person orients toward the outer world:  
either Judgment or Perception.

There were eight possible preferences--two opposites for each four scales. Type was the combination and interaction of the four preferences that an individual chose. A four letter code type may be used as a short-hand for indication type. For example, an ENTJ type was an extravert (E) who preferred intuition (N) for perceiving, thinking (T) for making decisions, and who took a judging (J) attitude toward the outer world. Summary descriptions are found in Appendix A.

All participants in the Superintendents' Executive Program II were administered the Myers Briggs in October, 1988. Each completed the instrument privately, then the instrument was evaluated by a staff person at the Institute. Each participant was given a report with preferences recorded in numerical, letter and graph form. This information was available from the individual participants or from the Institute of Government upon written permission of an individual participant.

Validity- The Myers-Briggs Type Indicator is related to variables such as personality measures, SAT performance, selected Strong Vocational Interest Blank Scales and the Edwards Personal Preference Schedule. There are available correlation studies of the

instrument with ratings on a number of personality dimensions and with the Jungian Type Survey. The correlations between corresponding dimensions are moderately high and statistically significant.

Validity data are also presented in the manual showing that self-ratings of type and the assignment made by the instrument have closer correspondence than would be expected by chance. (Mitchell, 1985, p. 1031)

Reliability- Test-retest reliability coefficients from studies done by numerous researchers from 1964 to 1977 indicated good retest reliability, ranging from .48 to .87 depending on the time lapse. (Mitchell, 1985, p. 1032)

The second instrument was a change survey developed by the researcher which:

- (1) Defined eight different types of change using examples of first-order change, second-order change, and some types of change which could be either first- or second-order change;
- (2) Asked participants to respond if they have planned, implemented, and/or completed each of the eight types of change within their respective system during their tenure as superintendent and give a specific example of the most significant change from each category;

- (3) Asked participants to indicate whether each type of change was initiated by the State Department of Public Instruction, State Legislature, Federal government, community, other force external to the school system (specified), or by the superintendent, local Board of Education, or other group or individual internal to the system (specified);
- (4) Asked participants to give a success rating (1-5) in terms of whether a given innovation (change) was fully installed and implemented in daily school practice in terms of the original objective;
- (5) Asked participants to determine approximately how much time was available to judge the success of each area of change;
- (6) Asked participant to make a judgment as to whether changes/innovations which were evaluated as successful were first-order or second-order changes. Definitions and descriptions for each were supplied on the instrument;
- (7) Asked participants to list environmental barriers and/or enhancers for each example of change.

Definitions for categories of change as established in the literature by Dalin (1978) and Reilly's published and unpublished work on change (1983 & 1989) were provided.

Examples of external forces sometimes responsible for initiating change also came from the work of Dalin (1978) and Reilly (1989). Definition of success was taken from Dalin (1978). Finally, examples of possible barriers and enhancers to success were found in Dalin (1978) and in Charters and Pellegrin (1973).

This second instrument was mailed with a cover letter to the 22 superintendents who participated in the Superintendents' Executive Program, II. They were asked to complete and return to the researcher the following sections:

- (A) General demographic data;
- (B) The four-letter code indicating their personality type as determined by the Myers-Briggs Type Indicator which was administered during SEP II;
- (C) Section on change.

Superintendents were asked to identify their surveys only by the system number and were assured in the cover letter that no names would be associated with any results. System numbers were necessary to validate when all possible participants had responded. Superintendents were asked if they would like a summary of the data after completion of the project. This information is presented in Appendix B.

Three weeks after the original surveys were mailed, a second cover letter, a copy of the original cover letter and a copy of the survey instrument were mailed to those who had

not responded. After two additional weeks, a third cover letter with the same copies were sent to those who had not responded by that time. A final date was given past which responses could no longer be considered. Eighteen surveys, or 82%, were returned, completed by the date given.

## CHAPTER IV

### ANALYSIS OF DATA

#### General Characteristics of Superintendents

There were 18 surveys returned out of a possible 22, an 82% return. All respondents completed a section on general demographic data, including highest degree earned, total number of years in education, number of years as a superintendent, and size of the system. This information is presented in Table 1.

#### Composite of Data

The analysis of the data on leadership type and change was conducted in a sequential manner. First, the general information relating to each subject was entered and reported in six columns as presented in Table 2. The first column is case number. Each change from each survey was considered a separate case number. For example, each survey contained a potential for eight cases: one from each type of change represented (technological, curriculum, attitudes, behavior, organization, social, roles, objectives). Cases were numbered consecutively throughout the study. Respondent number one (R-1) had cases one through eight; respondent number two (R-2) had the next case numbers. If a respondent had some areas in which they confirmed no



**Table 1**  
**General Characteristics of Superintendents**

Respondent	Education		Current system		
	Degree	Total years	Years supt.	Size	Type
R1	Ed.S.	25	4	4,700	City
R2	Ed.D.	30	2.5	2,535	County
R3	Ed.S.	24	7	1,300	County
R4	Ed.D.	20	3.5	2,076	City
R5	Ed.S.	20	2.5	1,088	County
R6	Ed.D.	21	3	12,000	County
R7	Ph.D.	25	8 <sup>a</sup>	13,700	County
R8	Ed.S.	30	9	2,370	County
R9	Ed.D.	24	6	5,000	County
R10	Ed.D.	20	7	5,100	County
R11	Ed.S.	29	3	10,150	County
R12	Ed.D.	20	3	3,773	City
R13	Ed.S.	19	4	4,262	County
R14	Ed.S.	15	9	1,200	County
R15	Ed.D.	22	7	8,000	City

(table continues)

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Respondent	Education		Current system		
	Degree	Total years	Years supt.	Size	Type
R16	Ed.S.	35	8	11,500	County
R17	Ed.D.	17	3	7,240	County
R18	Ed.D.	22	6 <sup>b</sup>	2,740	County

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Note. All respondents were males.

<sup>a</sup>Previously served as superintendent for one year in another system. <sup>b</sup>Previously served as superintendent for two years in another system.

**Table 2**  
**Composite of Data**

<b>Case</b>	<b>Change</b>	<b>Initiator</b>	<b>Success rate</b>	<b>Change effect</b>	<b>MB type</b>
<b>Respondent R1</b>					
1	technological	superintendent	4	minor	ENTJ
2	curriculum	legislature	4	minor	ENTJ
3	attitudes	superintendent	5	major	ENTJ
4	behavior	superintendent	5	minor	ENTJ
5	organization	other internal	0	minor	ENTJ
6	social	legislature	5	major	ENTJ
7	roles	state department	5	major	ENTJ
8	objectives	superintendent	4	major	ENTJ
<b>Respondent R2</b>					
9	technological	superintendent	5	major	ISTJ
10	curriculum	superintendent	4	minor	ISTJ
11	behavior	other external	4	major	ISTJ
12	organization	superintendent	3	minor	ISTJ
13	social	superintendent	4	minor	ISTJ
14	roles	superintendent	5	minor	ISTJ
<b>Respondent R3</b>					
15	technological	superintendent	4	major	ESFJ
16	curriculum	state department	4	major	ESFJ
17	attitudes	superintendent	3	major	ESFJ
18	behavior	superintendent	3	minor	ESFJ

(table continues)

Case	Change	Initiator	Success rate	Change effect	MB type
19	organization	superintendent	5	major	ESFJ
20	social	community	5	minor	ESFJ
21	roles	superintendent	5	major	ESFJ
Respondent R4					
22	technological	superintendent	5	minor	ESFJ
23	curriculum	state department	5	minor	ESFJ
24	attitudes	superintendent	3	major	ESFJ
25	organization	superintendent	5	minor	ESFJ
26	social	community	4	major	ESFJ
27	roles	superintendent	5	minor	ESFJ
28	objectives	other internal	5	major	ESFJ
Respondent R5					
29	technological	superintendent	5	major	ESTJ
30	curriculum	superintendent	5	major	ESTJ
31	attitudes	superintendent	4	minor	ESTJ
32	social	state department	4	minor	ESTJ
33	roles	superintendent	4	major	ESTJ
34	objectives	superintendent	5	minor	ESTJ
Respondent R6					
35	technological	state department	4	major	ISTJ
36	curriculum	community	3	major	ISTJ
37	organization	legislature	4	major	ISTJ
38	social	board of ed.	2	major	ISTJ

(table continues)

Case	Change	Initiator	Success rate	Change effect	MB type
39	roles	superintendent	3	major	ISTJ
40	objectives	board of ed.	3	major	ISTJ
Respondent R7					
41	technological	state department	5	minor	INTJ
42	curriculum	superintendent	5	minor	INTJ
43	attitudes	superintendent	3	minor	INTJ
44	behavior	superintendent	4	major	INTJ
45	organization	superintendent	4	major	INTJ
46	social	superintendent	3	minor	INTJ
47	roles	superintendent	3	major	INTJ
48	objectives	superintendent	4	major	INTJ
Respondent R8					
49	technological	superintendent	4	minor	ESFJ
50	curriculum	superintendent	5	major	ESFJ
51	attitudes	legislature	3	major	ESFJ
52	behavior	superintendent	4	minor	ESFJ
53	organization	superintendent	5	major	ESFJ
54	social	superintendent	4	major	ESFJ
55	roles	superintendent	3	minor	ESFJ
56	objectives	superintendent	4	major	ESFJ
Respondent R9					
57	technological	superintendent	5	major	INTJ
58	curriculum	state department	4	minor	INTJ

(table continues)

Case	Change	Initiator	Success rate	Change effect	MB type
59	attitudes	superintendent	4	minor	INTJ
60	organization	superintendent	5	major	INTJ
61	roles	state department	5	major	INTJ
Respondent R10					
62	technological	superintendent	4	minor	ESTJ
63	curriculum	superintendent	4	major	ESTJ
64	behavior	other internal	4	minor	ESTJ
65	organization	superintendent	4	major	ESTJ
66	roles	state department	5	major	ESTJ
67	objectives	other internal	3	major	ESTJ
Respondent R11					
68	technological	superintendent	4	minor	ISTJ
69	curriculum	superintendent	5	minor	ISTJ
70	attitudes	other internal	4	minor	ISTJ
71	behavior	other internal	4	major	ISTJ
72	organization	superintendent	4	major	ISTJ
72	social	superintendent	4	minor	ISTJ
73	roles	superintendent	4	minor	ISTJ
75	objectives	superintendent	3	major	ISTJ
Respondent R12					
76	technological	superintendent	4	minor	ESTJ
77	curriculum	state department	5	minor	ESTJ
78	attitudes	superintendent	3	minor	ESTJ

(table continues)

Case	Change	Initiator	Success rate	Change effect	MB type
79	behavior	other internal	4	minor	ESTJ
80	organization	superintendent	5	major	ESTJ
81	social	superintendent	2	major	ESTJ
82	roles	state department	4	major	ESTJ
Respondent R13					
83	technological	state department	5	minor	ESFJ
84	curriculum	other internal	2	major	ESFJ
85	attitudes	other internal	2	major	ESFJ
86	behavior	other internal	2	major	ESFJ
87	organization	other internal	5	major	ESFJ
88	social	other internal	5	minor	ESFJ
89	roles	other internal	4	major	ESFJ
90	objectives	other internal	4	minor	ESFJ
Respondent R14					
91	technological	state department	5	minor	ISTP
92	curriculum	superintendent	4	major	ISTP
93	attitudes	superintendent	5	minor	ISTP
94	behavior	superintendent	4	minor	ISTP
95	organization	other internal	5	major	ISTP
96	social	superintendent	5	major	ISTP
97	objectives	other internal	5	minor	ISTP
Respondent R15					
98	technological	superintendent	5	major	ESTP

(table continues)

Case	Change	Initiator	Success rate	Change effect	MB type
99	curriculum	other internal	0	major	ESTP
100	attitudes	other internal	4	major	ESTP
101	behavior	board of ed.	3	major	ESTP
102	organization	superintendent	5	major	ESTP
103	social	superintendent	4	major	ESTP
104	roles	superintendent	4	major	ESTP
105	objectives	superintendent	4	major	ESTP
Respondent R16					
106	technological	board of ed.	4	minor	ISTJ
107	curriculum	superintendent	4	minor	ISTJ
108	attitudes	superintendent	4	minor	ISTJ
109	behavior	superintendent	4	minor	ISTJ
110	organization	board of ed.	3	minor	ISTJ
111	social	legislature	5	major	ISTJ
112	roles	legislature	4	minor	ISTJ
Respondent R17					
113	technological	other internal	4	minor	INFP
114	curriculum	state department	3	minor	INFP
115	attitudes	superintendent	3	major	INFP
116	behavior	superintendent	2	major	INFP
117	organization	superintendent	4	major	INFP
118	social	superintendent	4	major	INFP
119	objectives	superintendent	3	major	INFP

(table continues)



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Case	Change	Initiator	Success rate	Change effect	MB type
Respondent R18					
120	technological	other external	3	minor	ISFP
121	curriculum	superintendent	5	major	ISFP
122	organization	other external	5	major	ISFP
123	roles	superintendent	5	major	ISFP

---

significant change in a specific area, then that respondent would have fewer than eight case numbers.

The second column contains the area of change where a significant change had occurred in the school system of the superintendent respondent, as verified by the superintendent. Again, there could be a maximum of eight areas cited in this column. They were as follows: technological, curriculum, attitudes, behavior, organization, social, roles, objectives. If a superintendent responded that there had been no significant change in a particular area, then that area was not represented in the change column for that particular superintendent.

The next column contained the initiator of each specific type of change for each superintendent, as perceived by each respective superintendent. Respondents had to identify the actual initiator for each specific change. The choices for change initiators were as follows: (1) State Department of Public Instruction, (2) state legislature, (3) federal government, (4) community, (5) other external (could specify), (6) superintendent, (7) local board of education, (8) other force internal to school system (could specify).

The next column contained the success rate for each case. On the survey instrument, participants were asked to rate the success from 1 to 5 for each area of change. The number one (1) represented poor, with number five (5) representing excellent.

The fifth column reflected whether each change, or case, was perceived by the superintendent respondent as being a major (second order) or a minor (first order) change. Minor change was described as a change that resulted in making what already existed more effective and efficient without disturbing the basic organizational features; a different approach to existing goals and structures; minimal change to an existing structure. Major change was described as a change that resulted in a restructuring of an existing order--the change of a system. The major change altered the fundamental ways in which the organization was put together to result in new goals, structures, and roles: major change to existing structure; restructuring.

The final column contains the Myers-Briggs personality type code for each respondent.

#### RESEARCH QUESTION #1

- (1) What are the predominant leadership types possessed by North Carolina school superintendents who participated in the North Carolina Institute of Government Superintendents' Executive Program, II, as determined by the Myers-Briggs Type Indicator?

There were sixteen possible types from the Myers-Briggs Type Indicator; they are as follows: ENTJ, ENFJ, ESFJ, ESTJ,

ENTP, ENFP, ESFP, ESTP, INTP, INFP, INTJ, ISFP, ISTJ, ISTP, INFJ, ISFJ. Not all types were represented in this study. Only nine different personality types were represented by the superintendents participating in the study. The represented types were as follows: ENTJ (1), ESFJ (4), ESTJ (3), ESTP (1), INFP (1), INTJ (2), ISFP (1), ISTJ (4), ISTP (1). The percentages of specific types from total number of superintendent respondents is presented in Figure 1.

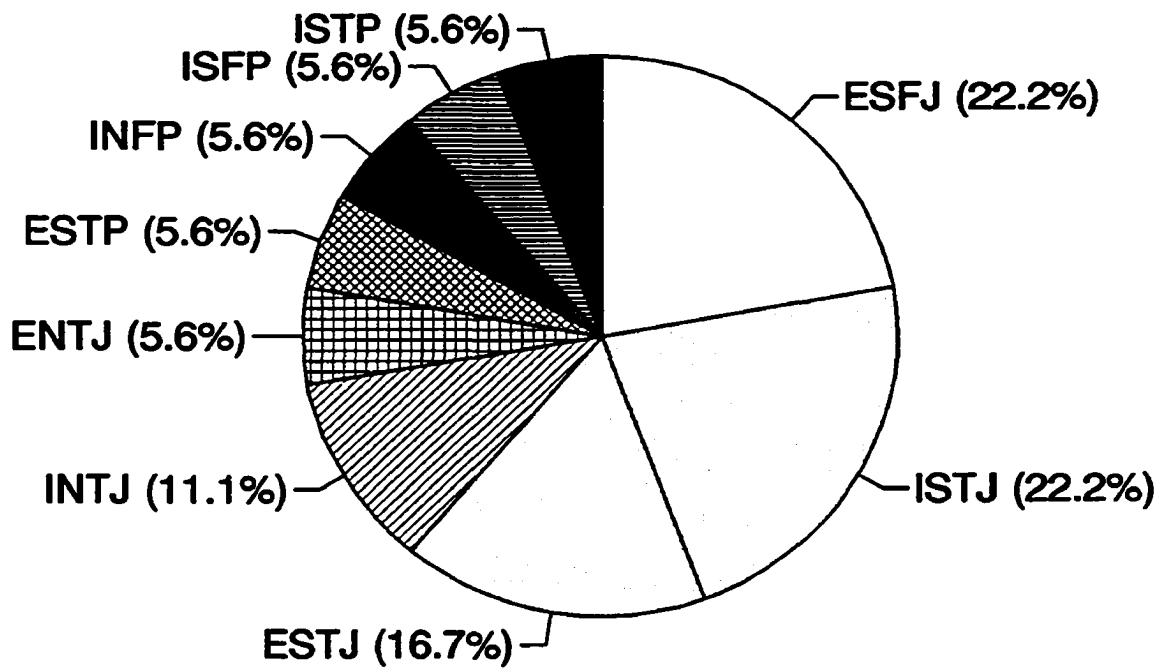
#### Frequency Breakdown of Myers-Briggs by Case

Reporting a case by case representation (each individual change represented considered as an individual case), the count and the percentage are more revealing. When reporting the percentage of change by type by number of individual cases, ESFJ has the greatest percentage with 24.4% of the total number of cases identified (123) and ISFP has the lowest percentage with 3.25%, with all others as follows:

ESFJ	-	24.4%
ISTJ	-	22.0%
ESTJ	-	15.4%
INTJ	-	10.6%
ENTJ	-	6.5%
ESTP	-	6.5%
INFP	-	5.69%
ISTP	-	5.69%
ISFP	-	3.25%

Figure 1

Myers-Briggs Frequency by Superintendent



From another perspective, there was one ENTJ personality type represented. That one respondent had the opportunity to give an example of eight different types of significant changes in his system, or eight cases. The one ENTJ did illustrate eight cases of change, or 100% examples given from possible opportunities, as reflected in Table 3. However, there were four ESFJ personality types, giving an opportunity for 32 (4 x 8 types of change) different cases. Only 30 different cases were illustrated, meaning that there were 2 areas which had no significant change (either major or minor) to report, resulting in 93.75%. Of the ESTJ personality type, there were three respondents, giving rise to a possibility of 24 cases, with only 19 being represented (79.16%). The one ESTP personality type reported significant cases in all areas. The one INFP reported significant changes in seven of the eight areas (87.5%). The two INTJ personality types reported 13 significant changes from a possible sixteen (81.25%). Only four of eight possible change areas were reported by the one ISFP (50%). Although there were 32 possible cases from the four ISTJ personality types, only 27 significant changes were reported (84.37%). The one ISTP reported 7 of 8 possible change cases (87.5%). In summary, the only personality types which consistently reported changes in every area were as follows: ENTJ and ESTP, both represented by only one participant. This information can also be reviewed in Table 3.

Table 3

Frequency Breakdown of Myers-Briggs Type by Total Cases

MB type	Persons responding	Changes identified	Percent of cases	Percent change specified
ENTJ	1	8	6.50	100.00
ESFJ	4	30	24.40	93.75
ESTJ	3	19	15.40	79.11
ESTP	1	8	6.50	100.00
INFP	1	7	5.69	89.50
INTJ	2	13	10.60	81.25
ISFP	1	4	3.25	50.00
ISTJ	4	27	22.00	84.37
ISTP	1	7	5.69	87.50

**RESEARCH QUESTION #2**

- (2) What type of change (first-order, second-order, or a mixture) have these superintendents initiated and/or maintained during their tenure as superintendent?

**Areas of Change and Frequency Breakdown of Areas of Change**

The eight different areas of change where participants were asked to give an example of the most significant change instituted during their tenure as superintendent were as follows: attitudes, behavior, curriculum, objectives, organization, roles, social, technological. These areas were cited in the literature by Dalin (1978). The frequency breakdown of numbers of cases in each area can be seen on Figure 2. The two areas where superintendents provided the most examples of significant changes were in the areas of curriculum and technological, with eighteen cases (14.6%) in each area. Objectives had the fewest numbers of cases with 12, or 9.76%. The remaining numbers can be seen from Figure 2. These are reported in terms of change without distinguishing between first- or second-order (minor or major) change.

In terms of major (second-order) change or minor (first-order) changes identified, there were a total of 70 major changes and 53 minor changes identified. Specific numbers are presented in Table 4.



Figure 2

Types and Frequency of Change

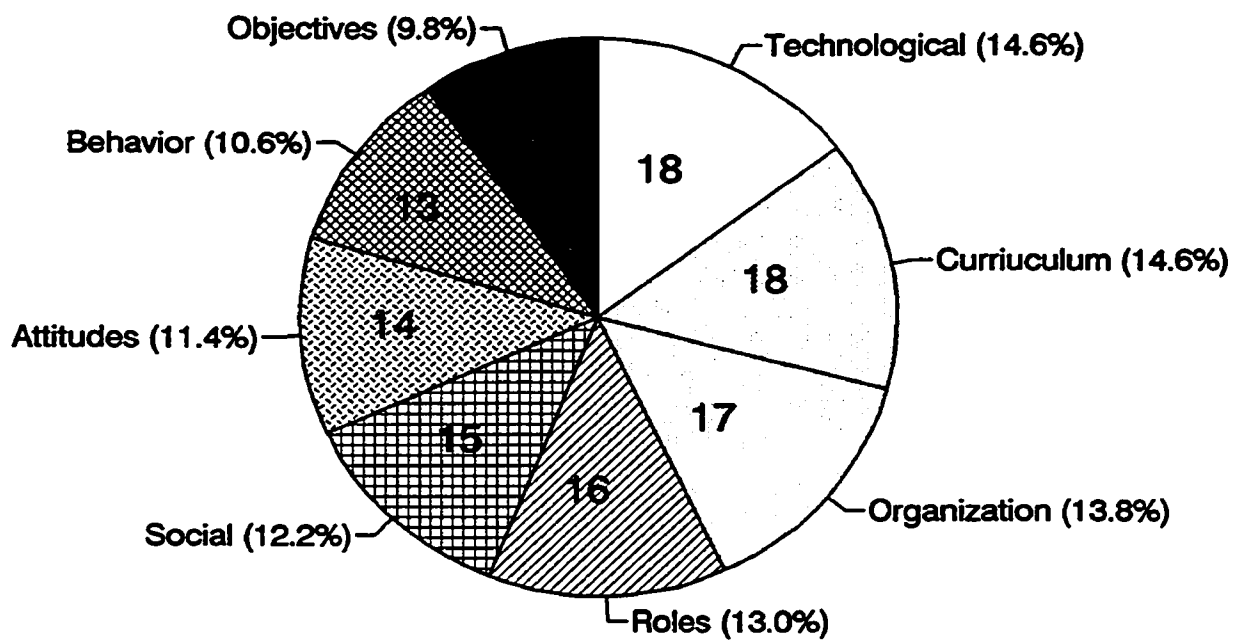


Table 4

Types of Change: Frequency  
Breakdown by Areas

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MB			
type	Major	Minor	Total
ENTJ	4	4	8
ESFJ	18	12	30
ESTJ	10	9	19
ESTP	8	0	8
INFP	5	2	7
INTJ	7	6	13
ISFP	3	1	4
ISTJ	12	15	27
ISTP	3	4	7
TOTAL	70	53	123

---

### Major Change: Frequency Breakdown by Areas

In terms of only major or second-order change, the area which contained the most frequently reported examples of major change was organization with 13 cases or 18.57%, followed by roles, with 11 cases or 15.71%. The fewest numbers of major change was 6 or 8.57% in the areas of behavior and technological. The total numbers can be seen in Figure 3.

### Initiator: Frequency Breakdown by Initiator of Changes

Figure 4 represents individual cases in terms of the initiator of the individual change. Superintendent respondents perceived that they had initiated the vast majority of changes (59.3%) in their respective systems. The next highest general initiator cited was "other internal" with 15.4%. The lowest percentage of initiator of total change as perceived by superintendent participants was community and "other external" with 2.44%. Complete percentages can be seen in Figure 4. These are presented in terms of total numbers of changes with no distinction between first-order and second-order.

In terms of only major, or second-order change, superintendents again see themselves as the main initiator of change. Based on superintendents' perceptions, sixty (60%) of all the major changes identified in the surveys were said to have been initiated by the superintendents themselves. Again, the next highest area of initiator of

Figure 3

Frequency Breakdown of Major Changes by Areas

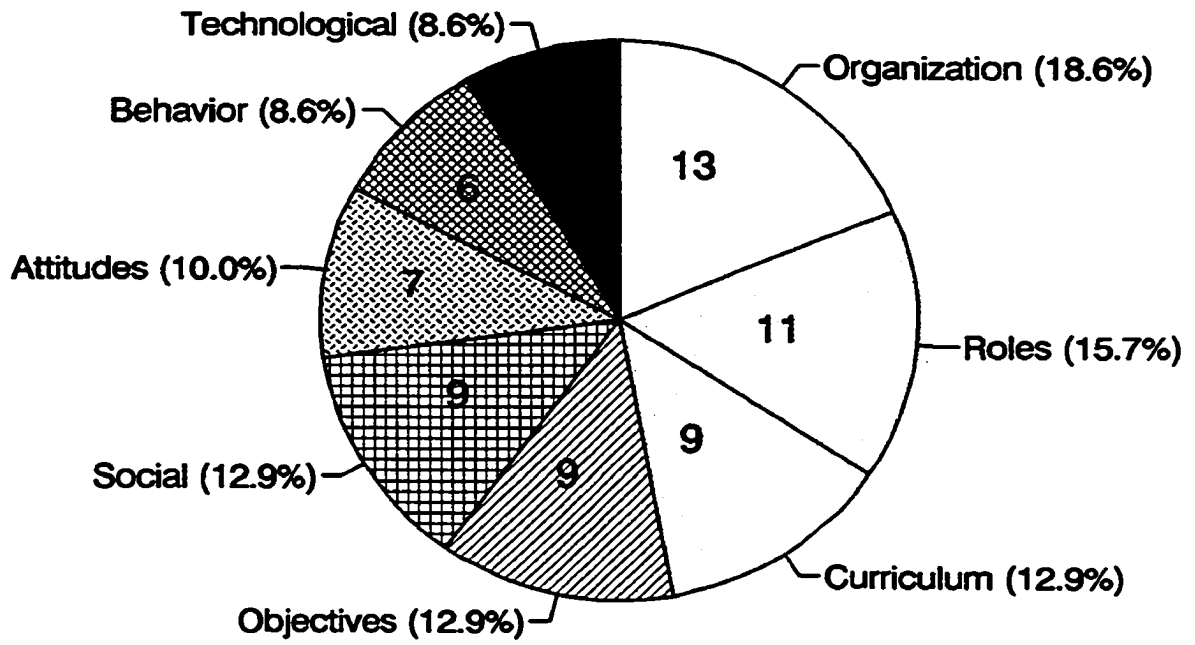
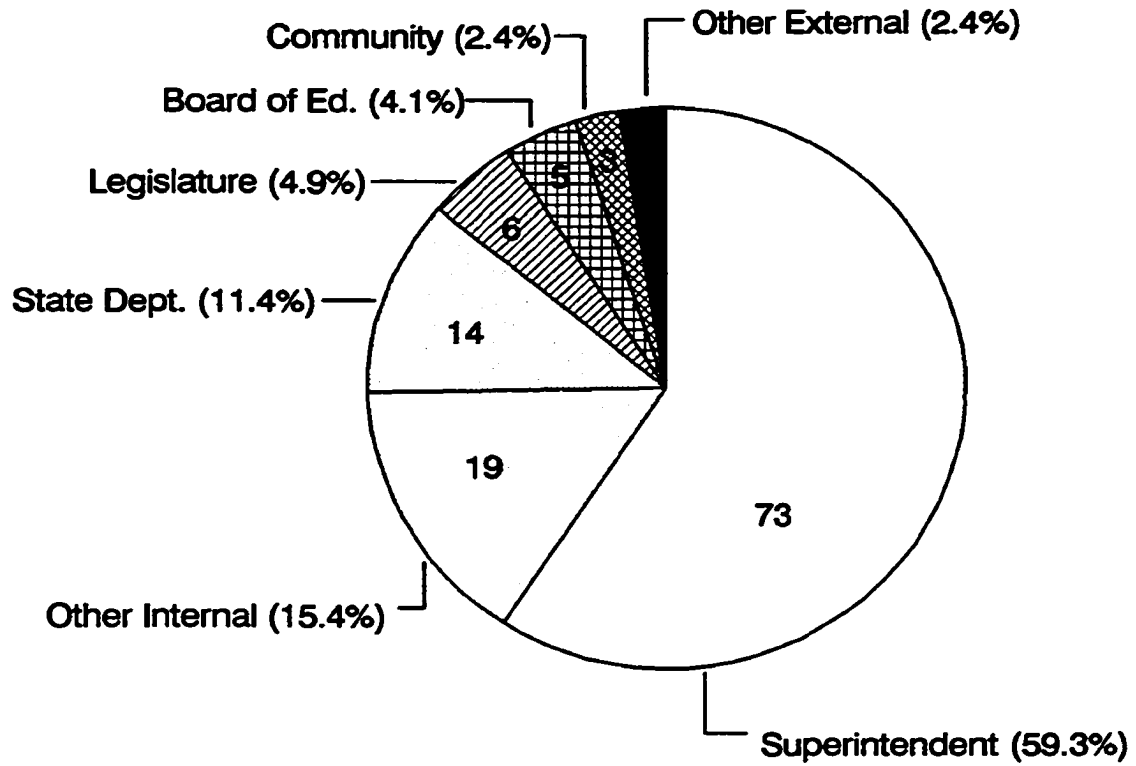


Figure 4

Frequency Breakdown by Initiator of Changes



major change was "other internal" with 15.71%. The State Department of Public Instruction followed as the next highest initiator of change with 8.57%. Legislature was perceived by superintendents as the initiator of only 5.71% of the major changes in individual systems. Local Boards of Education were identified as initiators of only 4.29%, followed by community and other external with 2.86% each. This break down is represented in Figure 5.

### RESEARCH QUESTION #3

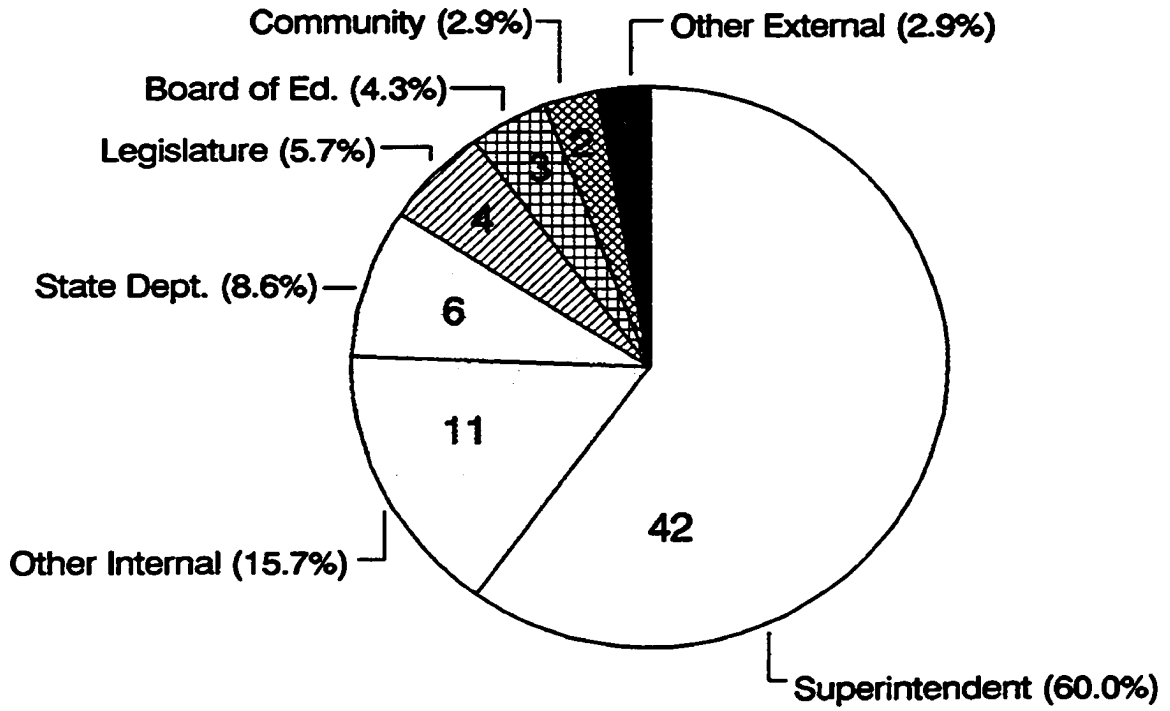
- (3) Is there a pattern between the leadership type and successful second-order change as identified by the superintendent as being implemented during their tenure?

### Summary of Changes

The ENTJ personality type had a total of four (4) major changes identified and four (4) minor changes identified, for a total of eight (8) identified changes. Therefore, the percentage of change identified as major from the total number of changes identified was fifty percent (50%). This, of course, was from a possible eight (8) areas of change since there was only one ENTJ respondent. The percentage of change identified as major from the total number of changes possible was also fifty percent (50%) since there were only eight possible areas of change and all eight had an example

**Figure 5**

**Percentage of Major Changes by Initiator**



of a significant change. The ESFJ personality type however, was different in terms of percentages of major changes identified. There were eighteen major changes and twelve minor changes identified by ESFJ personality types. The percentage of change identified as major from the total number of changes identified (30) was sixty percent (60%); however there were thirty-two areas possible for changes to be identified since there were four ESFJ respondents and eight areas per respondent, resulting in 56.25% of change identified as major from the total number of changes possible. Scores from each area can be seen in Table 5.

The results of adding the variable of success rating of major change and categorizing each by personality type are presented in Table 6. As indicated in this table, the ESTP personality type has the highest percentage (75%) of successful (rates a 4 or 5) second-order change from the changes identified and ISTJ has the smallest percentage (25.92%) of successful second-order change from changes identified.

Finally, Table 6 shows results in terms of percentage of successful (success rating of 4 or 5) second-order change compared to total possible areas of change by personality type. The personality type which identified the highest percentage of successful second-order changes from total possible was ESTP, with a 75% rate. The ENTJ personality type had the next highest percentage with 50%. Four



Table 5

Major Changes Compared to Total Changes by Myers-Briggs  
Personality Type

Myers- Briggs type	Major	Change totals		Percent of major	
		Ident. <sup>a</sup>	Possible	From ident. <sup>a</sup>	From possible
ENTJ	4	8	8	50.0%	50.0%
ESFJ	18	30	32	60.0%	56.3%
ESTJ	10	19	24	52.6%	41.7%
ESTP	8	8	8	100.0%	100.0%
INFP	5	7	8	71.4%	62.5%
INTJ	7	13	16	53.8%	43.8%
ISFP	3	4	8	75.0%	37.5%
ISTJ	12	27	32	44.4%	37.5%
ISTP	3	7	8	42.9%	37.5%
<b>Total</b>	<b>70</b>	<b>123</b>	<b>144</b>	<b>56.9%</b>	<b>48.6%</b>

<sup>a</sup>Identified

Table 6

Successful Second-Order Change by Myers-Briggs PersonalityType

MB type	Identified changes		Major success (4 or 5)	Successful change	
	Major	Minor		From identified	From possible
ENTJ	4	4	4	50.0%	50.0%
ESFJ	18	12	12	40.0%	37.5%
ESTJ	10	9	8	42.1%	33.3%
ESTP	8	0	6	75.0%	75.0%
INFP	5	2	2	42.9%	25.0%
INTJ	7	6	6	46.2%	37.5%
ISFP	3	1	3	50.00%	37.5%
ISTJ	12	15	7	25.9%	21.8%
ISTP	3	4	3	42.9%	37.5%
Total	70	53	51	41.5%	35.4%

personality types identified 37.5% of the total changes possible as successful second-order changes: ESFJ, INTJ, ISFP, ISTP. The ESTJ personality identified 33.3%, INFP identified 25%, and ISTJ identified 21.8% as successful second-order changes.

CHAPTER V  
SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS  
FOR FUTURE STUDY

Summary

Leadership, or the ability of one individual to influence and alter the behaviors, actions, and attitudes of individuals and groups, through predominately non-coercive means, (Kotter, 1988, p. 5) has been a topic of discourse for virtually the entire history of civilized man. In more recent history, another topic has also enjoyed a great deal of attention from philosophers and practitioners alike: the process of change. This particular study looked at the interaction of leadership and the process of change, particularly change that alters the actual structure of an organization (second-order change).

While most of the literature on leadership and change came either from the philosophical arena or the private sector (business and industry), the assumption was made that there was general applicability of the literature to all areas concerned with leadership and change. Of specific interest to this study were the superintendents of the public school systems of North Carolina and their interaction with change, particularly second-order change. Specific subjects were the acting superintendents who

participated in the Superintendents' Executive Program, II, at the Institute of Government at Chapel Hill, North Carolina.

The two primary instruments used in this study were

- (1) The Myers-Briggs Type Indicator, to determine leadership type of each participating superintendent;
- (2) A survey on specific changes implemented during the superintendent's tenure.

An analysis was conducted to determine if there was a consistent pattern between leadership type, as determined by the Myers-Briggs Type Indicator, and ability to implement successful second-order change.

### Results

The first interesting area to note was that only 9 of the 16 Myers-Briggs Personality Types (56%) were represented from the 18 superintendents participating in the study. The ESFJ and ISTJ personality types both had four representatives each, 44.4% of the total respondent population.

Another interesting area to note is that according to a report in USA Today (1991), Otto Kroeger, whose firm trains companies in giving the Myers-Briggs test, stated that "Sixty percent of the corporate managers in the world are T-J's." In this study, the T-J personality types

represented 55% of the total respondents of school superintendents.

When adding the variable of change, only two personality types consistently identified changes in every area: ENTJ and ESTP--both represented by only one respondent. When targeting only successful second-order change, the two highest percentages of identified second-order changes from total possible were also ENTJ, with 50% and ESTP, with 75%--both, of course, represented by only one respondent. The four ESFJ respondents identified a total of 37.5% successful second-order changes from the total possible, and the four ISTJ respondents identified only 21.8% as successful second-order changes from the total possible.

The areas where most changes were identified were curriculum and technological. These areas were not surprising due to their tendency to be areas of first-order change. What was surprising, however, was that most of the changes identified by the superintendents as a group were identified as second-order changes, 70 major changes from 123 identified (56.9%). Organization was the area most often identified as a second-order change.

Superintendents stated that they had initiated 59.3% of all changes occurring in their systems within the eight specified areas. They also stated that they had initiated 60% of all the major changes in their system, followed by

"other internal" with 15.4%, for a total of 75.7% of all major changes were said to have been initiated internally. Only about 20% of the identified major changes were said by superintendents to have been initiated by forces external to the system (Community, 2.9%; Legislature, 5.7%; State Department of Public Instruction, 8.6%; Other External, 2.9%). This data is inconsistent with the literature on change, which states that for true second-order change to occur, the initiator of the change must be external to the system. This inconsistency could be explained by the following possibilities:

1. Respondents did not accurately understand the difference between minor and major change. Although definitions were provided, there could have been misinterpretation.
2. Respondents did not understand or were not specific enough about initiator of change.
3. The literature on change may have not been appropriate when referring specifically and exclusively to public schools.

Most of the authors (Kanter, Dalin, Watzlawick, and Sarason) emphasized the importance of environment evoking a need for change and the necessity of the initiator of change being external to the system (Kanter, Dalin, Maruyama, Watzlawick, and Sarason). However, when considering the literature on leadership in concert with the literature on change, the

same data actually supports the literature. Kanter, Sarason, Dalin, Kotter, Deal and Kennedy all stressed the importance of the role of the leader in any situation of a changing nature and the importance of the leader having knowledge of the culture he/she is attempting to change, which implies the necessity of having a leader internal to the system. Dalin went so far as to say, "The role and perspective of the policy maker in the innovation process, to a large extent will determine what 'educational change' means" (1975, p. 18).

In order to truly affect educational change, the person at the top of the organization must set the course of the organization through a vision (Bennis and Nanus, 1985) for the future which takes into account the legitimate long term interests of the of the parties involved. Peters and Austin (1985) talk of visions of values, of integrity, that "harbor the most soaring, lofty and abstract notions" (p. xx). Gardner talks of goals in the same tone when he says,

Leaders can conceive and articulate goals that lift people out of their petty preoccupations, carry them above the conflicts that tear a society apart, and unite them in the pursuit of objectives worthy of their best efforts. (p. 12)

In summary, a good leader develops and articulates a vision for the organization which is meaningful to the moral as well as practical side of the population so as to inspire and motivate that population toward support of that vision



and establish trust within the organization (Bennis and Nanus). Leaders must make it clear that they believe in the vision, that they want it because it is good for the organization (Kanter, Cribbin, Maccoby).

This vision must be supported by goals which not only support the vision of the organization but at the same time, respond to the current and future needs of society. These goals should be far-reaching and attempt to affect behavior and attitudes of a number of groups (called Complexity by Dalin and The Rand Corporation, 1975). Once the vision and goals are established for the organization, the leader must be able to take the external mandates and reframe or redefine in terms which are congruent with the vision, goals, and values of the organization (Watzlawick et al. ). There must be a "fit" between the external mandate of the environment and the internal goals (described as Consonance by Dalin and Rand Corporation). The leader must be able to articulate this Consonance, or fit, in such a way that it will be accepted and supported by groups both internal and external to the system, providing a feeling of stability for internal groups and increasing participation and ownership of the change by both groups (Dalin).

At this point the "ownership" of the innovation or change brought about by an external mandate becomes very important. According to Dalin, "The ownership problem of an innovation is significant,...[It] may tell us something

about the possibilities of successful implementation and dissemination in the system" (p. 18). When there is an external force imposing change on an organization, someone in power must make it clear that they believe in the new strategy, that it is good for the organization (Kanter, 1983, p. 297) and that the change is congruent with goals of the organization. The leader must take responsibility for internalizing that mandate. According to Kanter, "The drive for change must become internalized, or prime movers cannot push with conviction, and the people around them can avoid whole hearted implementation" (1983, p. 297). This is a crucial point in the literature and the data verifies that this internalization is occurring in many instances. This is substantiated by the fact that the superintendent respondents indicated that they personally had initiated 60% of all the major changes implemented in their system, which would have been unlikely, if not impossible, according to the literature on change alone.

Unfortunately, while some change may occur, it occurs in a random fashion, and is not truly reflective of a true restructuring of the entire system. If the entire system was actually changing its structure and goals, (definition of second-order change), then there should be examples of major change in virtually every area. Yet only 11% of the respondents identified examples of second-order change in more than 38% of the areas specified. It is clear from the

literature on restructuring that while there is a definite call for change from forces external to the system of schooling, at this point, there are no consistent, specific, clearly articulated goals present which join the reform movement and the system of schooling in a manner acceptable to both groups. As a result, the changes which are being implemented are done so in a random, somewhat isolated way.

This problem will likely continue due, in part, to the fact that internal initiators have no real knowledge of the change process (Sarason, 1975); certainly, most public school educators have had virtually no training in understanding or implementing the process of change.

This carries some serious implications for the future of "restructuring" of the public schools of America. If true restructuring is to occur the following areas must be addressed:

1. The importance of the leader of the school system, the CEO, the superintendent must be stressed and addressed in a more significant fashion in the research, as well as in the literature. While the impetus for change does initially come from external forces, internal forces can still impede, delay, and block successful change (Reilly, 1989).
2. The public school superintendent must have or develop a positive attitude toward change.
3. Someone must take the responsibility for establishing a vision and goals for the system of

schooling based on current and anticipated demands of society. Someone must honestly examine the purpose of schooling in the current environment and establish goals which are appropriate for the demands of society, yet articulated in the language and culture of the internal organization, so as to establish support and participation from both groups. The superintendent is the best candidate to accomplish this.

4. The superintendent must be able to internalize the external mandates which are consistent with the goals of the organization so he/she can demonstrate belief in the desirability of the mandates for the good of the organization.
5. Current superintendents as well as future leaders need a working understanding of the process of change. Preparation programs as well as staff development programs must make this training available as soon as possible, in order to truly influence the future of schooling.

### Conclusions

The following conclusions are also consistent with the literature and the data as received and presented:

1. Many North Carolina superintendents are similar in personality type, as demonstrated by the fact that

close to half (44.4%) of the superintendents who responded were from only two personality types: ESFJ (22.2%) and ISTJ (22.2%). Sixty-one percent of the superintendents who responded were from three personality groups (ESFJ; ISTJ; and ESTJ with 16.7%). This means 61.6% of all the superintendent respondents were from 18.75% of the possible personality types.

2. There should be little significant difference between the personality types of school superintendents and corporate managers. Sixty percent of corporate managers tested were identified as T-J's by the Myers-Briggs Type Indicator, fifty-five percent of the superintendent respondents were identified as T-J's by the same test.
3. Only two personality types consistently identified examples of changes (either minimal or major) in all possible areas: ENTJ and ESTP.
4. The following personality types identified as major changes (no differentiation based on success) at least 50% of the changes from the total possible: ENTJ, ESFJ, ESTP, INFP.
5. Only two personality types (ENTJ and ESTP), represented by two superintendent respondents (11%) identified above 37.5% of the changes possible to identify as successful major, second-order changes.

Specifically, the ENTJ identified 50% of the possible changes as successful second-order changes and the ESTP identified 75% of the total possible changes as successful second-order changes.

#### Recommendations for Future Study

1. A study which has as its subjects, the entire superintendent population in the state of North Carolina would demonstrate if Conclusion #1, concerning similarity of personality types among superintendents, was consistent throughout the state.
2. A comparison of personality types of the entire superintendent population in the state of North Carolina and summary of the results of the corporate managers obtained by Otto Kroeger would determine if there is any significant difference in personality types of corporate managers and school superintendents.
3. A duplication of this study, adding the area of evaluation of change of the system (as cited by the superintendent) by the chairman of the Board of Education, would determine if, in fact, there was consistency and understanding concerning the changes within the system.
4. To more clearly determine if there is a consistent pattern between successful second-order change and

personality type of the superintendent, a study could be done which first identifies superintendents who have, in fact, been successful in instituting successful second-order change within their respective systems. Personality types for this group could be determined and then compared with personality types from a control group of superintendents. This procedure would determine if

- A. There was consistency among the established "change agents;"
- B. If there was a significant difference between the pattern of personality types represented by the "change agents" superintendents and the control group superintendents.

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**APPENDIX A**

**PLEASE NOTE**

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**130, Myers-Briggs Type Descriptions**

**University Microfilms International**



**APPENDIX B**

P. O. Box 1136  
Old Fort, North Carolina 28762  
January 2. 1990

Dr. John Doe, Superintendent  
Greensboro Schools  
P.O. Box 112  
Greensboro, NC 27401

Dear Dr. Doe:

I am a doctoral student at the University of North Carolina at Greensboro completing a dissertation on leadership types of superintendents and successfully implemented first- and second-order change.

I am interested in knowing if there is a pattern between leadership type as determined by the Myers-Briggs Type Indicator and an individual's relationship with change and whether that change resulted in a minimal change to existing structure or a restructuring of an existing structure.

Please complete the attached questionnaire. Although it looks extensive, it will only take about 20 minutes to complete. I have chosen to use as my population, the superintendents who participated in SEP II, so your response is extremely important. No names will appear in any of the research or final paper; however, I have asked for system numbers so that I will know when all questionnaires are returned.

I truly appreciate your help and your prompt response.

Sincerely,

Sherron Crawford

**Directions:**

Complete this questionnaire from the perspective of the superintendent only. You may use experiences in your current system and previous systems as long as you were the superintendent.

COLUMN 1: Read the definition for the individual categories of change in the left hand column (1). Under each definition identify the most significant change from each category in which you as superintendent have been instrumental in implementing during your tenure. If you do not have a specific example for a category, simply so indicate and go on to the next category.

COLUMN 2: After identifying the example in column 1, check ( ) the appropriate selection in column 2 if you planned, implemented, and/or completed the change or innovation. You might have checks in all three areas or in only one, depending on your respective situation.

COLUMN 3: In column 3 indicate by circling the appropriate number whether each specific change or innovation was originally initiated by a force external to the school system (as indicated by numbers 1-5 below) or by an internal force (as indicated by numbers 6-8 below). You will need to refer to this list when completing column 3 of the survey.

1. State Department of Public Instruction
2. State Legislature

3. Federal Government
4. Community
5. Other (please specify)
6. Superintendent
7. Local Board of Education
8. Other force internal to school system (please specify).

COLUMN 4: In column 4 give a success rating of 1 to 5, 1 being poor and 5 being excellent. Success is defined in terms of whether a given change is fully installed and implemented in daily school practice in terms of the original objective.

COLUMN 5: In column 5 please indicate how much time was available to judge the success of each area of change. Some examples may be in the early stages; any success rating would have to be judged based on the length of time available.

COLUMN 6: If individual change/innovation was determined to be successful in column 4, then in column 6, make a judgment as to whether the successful implementation could be described as

- (A) A change that resulted in making what already existed more effective and efficient without disturbing the basic organizational features; a different approach to existing goals and structures; minimal change to existing structure.

(B) A change that resulted in a restructuring of an existing order--the change of a system. The change altered the fundamental ways in which the organization was put together to result in new goals, structures, and roles. New goals, structures, and roles were created; major change to existing structure; restructuring.

COLUMN 7: In column 7, list the primary barriers and/or enhancers to successful implementation for each example of change. You may use the examples of barriers/enhancers given on the attached sheet or you may write in your own. Obviously, many examples may be viewed as a barrier in some instances and an enhancer in other situations. After each example, indicate whether the item was a barrier(B) or enhancer(E) for success for the specific change identified.

On the last page there is a short section on demographic data. Question one asks for your four letter code reflecting type from the Myers-Briggs Type Indicator. If you cannot remember your type, you can find it on the report sheet which we received when the Myers-Briggs was taken at the Superintendents' Executive Program. The other demographic data questions are self-explanatory.

A sample completed questionnaire is attached.

**Environmental Barriers and/or Enhancers**

- |   |   |
|---|---|
| 1. Clarity of objectives                          | 21. Social and economic                       |
| 2. Competency of people involved                  | interest                                      |
| 3. Community group (specify)<br>_____             | 22. Social expectation                        |
| 4. Department of Public Instruction               | 23. Society at large                          |
| 5. Existing laws, regulations,<br>examinations    | 24. Systemic management                       |
| 6. Faculty  | 25. State Board of<br>Education               |
| 7. Interest groups (specify)<br>_____             | 26. Time                                      |
| 8. Knowledge                                      | 27. User readiness                            |
| 9. Legislature                                    | 28. Values (different<br>ideologies & beliefs |
| 10. Local Board of Education                      | 29. Other (specify)<br>_____                  |
| 11. Monitoring procedures                         |   |
| 12. Other administrators                          |   |
| 13. Parents                                       |   |
| 14. Political forces                              |   |
| 15. Power barriers                                |   |
| 16. Practical factors                             |   |
| 17. Principals                                    |   |
| 18. Professional organizations<br>(specify) _____ |   |
| 19. Psychological barriers                        |   |
| 20. Resources                                     |   |