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PRINCIPAL LEADERSHIP IN THE JUNIOR HIGH SCHOOL SETTING

The University of North Carolina at Greensboro

Ed.D. 1984

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PRINCIPAL LEADERSHIP IN THE JUNIOR HIGH
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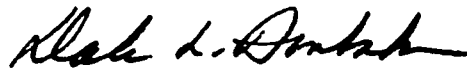
by

George Willie Frazier

A Dissertation Submitted to
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of the Requirements for the Degree
Doctor of Education

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Approved by



Dissertation Adviser

APPROVAL PAGE

This dissertation has been approved by the following committee of the Faculty of the Graduate School at The University of North Carolina at Greensboro.

Dissertation Adviser Dale G. Hombach

Committee Members Harold R. Snyder
Joseph E. Fryson
John W. Hendrick
Arnold F. Clark

August 29, 1984
Date of Acceptance by Committee

August 29, 1984
Date of Final Oral Examination

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The purpose of this study was to investigate the performance of the principal as he interacts with the audiences in the school setting-- teachers, students, parents or community, and the staff of the superintendent.

The principal-audience relationship was based on four assumptions: (1) when a principal appears before an audience, his actions influence the definition of the situation; (2) regardless of the objective the principal has in mind and the motive for such an objective, it is in his best interest to control the conduct of his audiences, especially their responsive treatment of him; (3) events may occur within the interaction that contradict, discredit, or otherwise throw doubt upon the principal's definition of the situation; and (4) the working consensus established in one audience interaction is different in context from that in another.

Three theoretical works were reviewed and evaluated: The Presentation of Self in Everyday Life by Erving Goffman; The Creation of Settings and the Future Societies by Seymour Sarason; and Change Principles of Problem Formation and Problem Resolution by Paul Watzlawick, John Weakland and Richard Fisch. Theories presented by these authors formed the bases for development of the "Principal's Performance Frameworks" which depict the key elements involved in the principal-audience relationship.

The ideas of the theorists and frameworks were integrated to form the following assumptions and guidelines which can not only increase the principal's effectiveness but can also serve as benchmarks or indicators in directing the principal toward the achievement of goals and objectives:

1. Principal and audience have mutual expectations.
2. Performances must be sincere.
3. Problems must be anticipated.
4. Leadership style is determined by the situation.
5. Activities are arranged to influence significant others.
6. Certain situations require control of the audiences.
7. Each principal-audience interaction is unique.
8. The backstage region serves as a physical, psychological, and emotional release.
9. Resources are limited.
10. Timetables are prevalent.
11. First-order and second-order change are compatible.
12. Decisions are influenced by the history and culture of the setting.
13. School audiences are the principal's most important resources.

This study concluded that acknowledgment and application of these assumptions and guidelines can cultivate an effective relationship between the principal and the school's audiences. The extent of success determines the quality of life for each person within the school setting.

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CHAPTER I

INTRODUCTION

The principal is the leader in the school setting. The most important factor in any leadership capacity, for school administrators or business executives, is to apply their leadership style to a specific set of circumstances to influence, persuade, guide, or direct others to achieve desired goals. The success of the school is determined by the leadership exercised by the principal. The writings of Goffman, of Sarason, and of Watzlawick, Weakland and Fisch provide valuable information to the principal, the school leader, for making decisions.

The total school environment is made up of several audiences or publics. The principal must employ leadership skills in directing the school's publics--teachers, students, the community, and the superintendent's staff--toward the goals and objectives of the school: namely, that teachers must teach, students must learn, the community must participate, and the staff of the superintendent must give direction and assistance to the total school program. These stated goals are more difficult to achieve than to acknowledge. The principal's interaction with each group requires knowledge of the different situational leadership styles or roles. Each audience presents a different set of complex circumstances that require the principal to evaluate each on its own merit. The principal has expectations of himself and of each of the school publics he must deal with. In their turn, each of these publics has legitimate expectations associated with the position of the

principalship. Therefore, the role expectations held by the various school audiences must be understood. Student expectations of the principal are different from those of parents, teachers, and the staff of the superintendent. The writer's personal experience and the literature associated with this topic indicate that role performance and audience expectations must fit in order for the principal to meet his goals.

The writings of Goffman, of Sarason, of Watzlawick, Weakland, and Fisch provide insight to the formulation and definition of problems, especially those dealing with the publics or audiences of the schools. The leadership style of the principal in a student-teacher conflict is different from his performance in a teacher-teacher or teacher-parent conflict.

The Statement of the Problem

The purpose of this study is to investigate the principal's role performance as he interacts with various audiences in the school environment. The audiences include the professional teaching staff, students, parents, and the superintendent's staff. The principal interacts on a daily basis with one, some, or all of the school's audiences.

The principal's role performance before each audience is observed, compared, and evaluated in light of each audience's expectations. The principal's responsibility is to define the situation and respond so that rewards or objectives are realized.

The principal often knows several versions of a particular role, and thus he must select from them. For example, he may be a friend to the community, a counselor to the students, and a manager for the school

facility. The many people with whom the principal interacts inevitably view him from different perspectives; he obviously cannot accept all their views of him. The extent to which attitudes of other people affect the principal's role performance depends in part on how significant they are to him. He must discern what makes some people highly significant and others less so.

The principal has a number of performances, roles, and identities to fulfill. These performances are necessary due to the different audiences and publics the school administrator interacts with. The principal must select and then perform the appropriate role. His front for one set of parents under a specific set of circumstances may be presented in a totally different front for another set of parents. For instance, in one parent conference he may communicate from behind his desk which expresses one meaning, and with another group of parents, he may sit casually among them.

The qualities, characteristics, attitudes, and expectations brought to the setting by the audience are significant in that these variables influence the performance of the principal. The most effective performances usually occur when the principal interacts with audiences that have the same expectations as the principal.

Definition of Terms

The following terms are defined in the sense that they are used for the remainder of the dissertation:

Performance: All the activity of an individual which occurs during a period marked by his presence before a particular set of observers

and which has some influence on the observers.¹ All human beings perform. The quality of the performance depends on the individual's knowledge and sophistication in a particular situation.

Front: That part of the individual's performance which regularly functions in a general and fixed fashion to define the situation for those who observe the performance.² Persons in a given society present themselves in a manner that indicates who and what (in terms of social status, sex, age, occupation, etc.) they claim to represent in the presence of others.

Backstage: A place relative to a performance, where the impression fostered by the performance is knowingly contradicted as a matter of course.³ The performance presented by an actor and observed by an audience is changed when that same actor presents another performance to a different audience.

Interaction: The exchanges which occur throughout any one occasion when a given set of individuals are in one another's presence.⁴

Creation of a setting: Any instance in which two or more people come together in new relationships over a sustained period of time to achieve certain goals;⁵ may be formal or informal: one group with

¹Erving Goffman, The Presentation of Self in Everyday Life (Garden City, New York: Doubleday and Company, 1959), p. 22.

²Ibid., p. 22.

³Ibid., p. 112.

⁴Ibid., p. 15.

⁵Seymour B. Sarason, The Creation of Settings and the Future Societies (San Francisco: Jossey-Bass, 1978), p. 1.

another group, an individual with a group, or an individual with an individual.

Performance repertoire: The complete set of expectations attached to a particular combination of actor-other identities (for example, principal-teacher, teacher-student, father-son).

Teacher: The certificated and classified personnel located on the school site. Persons in this audience include the teaching staff, aides, and the custodial staff.

Basic Assumptions

The principal is in a position to recognize and perform the roles required of his performance repertoire for the appropriate audience. The principal acquires this expertise through experience. The principal and the school audiences share interests which can be illustrated in these basic assumptions:

1. When a principal appears before an audience, his actions influence the definition of the situation. The situation may represent the front or backstage performance of the principal. The actions of the principal are calculated to evoke a specific response from each audience. The principal and each audience--teachers, students, the staff of the superintendent, and the community--have legitimate expectations from one another.

2. Regardless of the objective the principal has in mind and the motive for such an objective, it is in his best interest to control the conduct of his audiences, especially their responsive treatment of him. The principal must establish and maintain his role as a competent school

administrator when observed by one or more audiences. In times of conflict between the audiences, the principal must negotiate among the roles located in his performance repertoire to resolve this conflict. The question is which identity will the principal select: (a) the identity or performance associated with the definition or expectations of the parent?; (b) the identity associated with the definition or expectations of the teacher?; (c) self-evaluation of the definition or role performance of the principal that is most effective in his hierarchy of performances? The answer rests with the principal, who must communicate with the audiences.

3. Events may occur within the interaction that contradict, discredit, or otherwise throw doubt upon the principal's definition of the situation. The backstage performance of the principal may contradict the front stage performance. For example, a principal may consistently advise a teacher about the hazards and misfortunes of speeding, while he is not a practitioner of what he teaches because of his own driving habits. A principal may advise his staff about the problems related to overindulgence in alcoholic beverages; this advice may be opposed to his own behavior when he is entertained with his colleagues at social functions. In other words, the principal's performance as viewed by one of his audiences contradicts the performance observed by another audience.

4. The working consensus established in one audience interaction is different in context from that in a different audience interaction. The principal's role performance repertoire is larger than the sum total of performances or expectations held by any one audience. Because the principal is aware of the expectations held of him by each audience,

this awareness creates a performance or routine for the principal that is easily assembled and presented. The effective principal must have contingency performances or roles for occasions which require him to create new performances or styles.

These assumptions are based on the writings of theorists Erving Goffman, Seymour Sarason, and of Watzlawick, Weakland, and Fisch. Their theories are used by the writer to develop the "Principal's Performance Frameworks" which pictures the relationship between the principal and the school's audiences. As a final phase, the frameworks and the writings are integrated to form guidelines to increase the principal's effectiveness in the school setting.

Leadership is a much studied and researched subject; therefore, various topics on leadership are explored in this chapter. The "Nature of Leadership" defines leadership and discusses trait and situational theories. Next, "Misconceptions of Instructional Leadership" reveals that leadership in one situation cannot guarantee it in a different situation. And third, "The Principal and Leadership Responsibility" speaks to his obligation to the professional growth of the school's staff.

The Nature of Leadership

Management theorists have defined leadership in a number of ways. Dalton E. McFarland states it is "the ability of an individual to influence others to work beyond ordinary levels to achieve goals."⁶

⁶Dalton E. McFarland, Management: Foundations and Practices, 5th ed. (New York: Macmillan, 1979), p. 214-215.

Edgar F. Huse observed it as simply "the ability to persuade others to get something done."⁷ Theo Haimann, William G. Scott and Patrick E. Connor defined leadership as a "process by which people are directed, guided and influenced in achieving goals."⁸ William F. Glueck explained it as "a set of interpersonal behaviors designed to influence employees to cooperate in the achievement of objectives."⁹ The examination of current views indicates that one can accurately say that most writers in the field of management feel leadership is a process of influencing people to direct their efforts toward the achievement of some particular purpose or goal. Richard M. Hodgett suggested that leadership is a part of management, and managers must do more than merely lead, but if they fail to influence people to accomplish assigned goals, they fail as managers.¹⁰

The concept of leadership has been scrutinized and examined over the centuries. Volumes have been written analyzing the qualities of recognized leaders. The focus on persons such as Charlemagne, Churchill, Ghandi, Napoleon and even Hitler traditionally has been to find traits

⁷Edgar F. Huse, The Modern Manager (St. Paul, Minn.: West Publishing, 1978), p. 227.

⁸Theo Haimann, William G. Scott and Patrick E. Connor, Managing the Modern Organization, 3rd ed. (Boston: Houghton Mifflin, 1978), p. 410.

⁹William F. Glueck, Management, rev. ed. (Hinsdale, Ill.: Dryden Press, 1980), p. 460.

¹⁰Richard M. Hodgett, Management: Theory, Process and Practice, 3rd ed. (New York: The Dryden Press, 1982), p. 342.

that made them great leaders.¹¹ While many of the qualities studied such as physical characteristics or intelligence seem to have been inborn attributes, others were acquired skills like impeccable social behavior or dynamic public speaking. All these studies have failed to yield any truly distinguishing traits of leadership.

Situational theory has been more empirical and exhaustive in defining leadership characteristics and is more commonly accepted than trait theory. The former theory makes reference to a finite number of situational factors or dimensions that vary according to the leader's personality, requirements of the task, expectations, needs, attitudes of the followers, and the environment, all of which have to do with the definition of the leader.

Misconceptions of Instructional Leadership

A common misconception concerning leadership is that a status position such as the principalship automatically insures its existence; that is, a certain amount of prestige is attached to the principal by virtue of his office. Individuals employed in a school are inclined to accept leadership from the principal. In today's society, teachers are not required to follow unless the leadership is present. Principals must not expect loyalty and trust in followership unless they involve teachers in planning instructional improvement and thus earn the position of leadership which the office tentatively allows them.¹²

¹¹William H. Roe and Thelbert L. Drake, The Principalship (New York: Macmillan, 1974), p. 68.

¹²Paul B. Jacobson, James D. Logsdon, and Robert Weigman, The Principalship: New Perspectives (Englewood Cliffs, New Jersey: Prentice-Hall, 1973), p. 132.

However, leadership in one situation does not guarantee it in a different situation. The following examples indicate such: the bank manager has impressive leadership skills and credentials in the banking setting but lacks such skills as the leader of the tennis team. The doctor exhibits leadership qualities in the hospital but is ineffective as the leader of the local P.T.A. organization. Mistakes in judgment, made too frequently, result in a loss of confidence in the leader.

The Principal and Leadership Responsibility

The principal is confronted with a variety of tasks. Managing a school is time-consuming and demanding. The changed society and environment have created more difficult conditions. Because his most important task is the improvement of instruction, the principal must develop a strategy that will enable him to accomplish that objective.

The principal does not work in isolation. He is in a position to choose whether to share authority or not. If he chooses not to share authority, the participation of the staff in the decision-making process is reduced or maintained at a low level.¹³ Some principals see their function in the administrative process as carrying out the printed policies of the school and forwarding communications to the appropriate offices or groups of individuals. For such as these, the role of the principal becomes a paper title. They push papers in lieu of practicing the innovative administration required by the school for continued total improvement.

¹³Roe and Drake, p. 72.

The principal's position requires him to exercise the power and authority granted to him by the board of education. The best way to do this and at the same time to generate more power and authority is to share it with others in the school setting. According to Dimock, the creative growth of individuals is dependent on individual motivation throughout the organization. Creative growth is associated with the exercise of power, the assumption being that power is really dead apart from growing individuals.¹⁴

The principal can foster the acceptance of responsibility by sharing his authority. By sharing responsibility, authority and decision-making, the principal does accept some risk. To work with a staff that continues to improve professionally is certainly worth this risk. The principal is obligated to help his staff to develop its competencies and to work together so that these competencies complement each other. McGregor defined this as "growing talent" based upon the premise that "developing one's subordinates is a fundamental responsibility in any management job."¹⁵

Opportunities for the principal to exert leadership are abundant. As discussed by William Roe and Theibert Drake:

. . . assessment programs, new budgeting systems, increasing demands of the community or meaningful evaluation, accountability to the various communities served by any one school - all these are part of the new world to be won, as are the needs of the child who has

¹⁴Marshall E. Dimock, A Philosophy of Administration Toward Creative Growth (New York: Harper, 1958), pp. 166-171.

¹⁵Douglas McGregor, The Human Side of Enterprise (New York: McGraw-Hill, 1960), p. 197.

multiple disabilities, or the needs of a child whose ragged, ill-kept clothes and different speech patterns contribute to his devaluation by others.¹⁶

Method

This study utilizes the applied research approach in the investigation of the effective principal's relationship to the audiences of the school. The school's audience includes teachers, students, parents or community, and the staff of the superintendent. The assumptions presented by the selected theorists are reviewed and evaluated. The three works were selected because these writings and assumptions relate to problems encountered on a daily basis by the writer as an assistant principal. These works are also discussed as each relates to the framework devised by the writer.

Organization of the Study

Chapter II of the study presents a review of related literature, focusing upon three theorists. First, Erving Goffman's Presentation of Self in Everyday Life is analyzed. Next, Seymour B. Sarason's The Creation of Settings and the Future Societies is reviewed. He emphasized that any proposed new setting confronts a pre-existing complicated

¹⁶Roe and Drake, p. 67.

¹⁷Paul Watzlawick, John Weakland, and Richard Fisch, Change Principles of Problem Formation and Problem Resolution (New York: W. W. Horton, 1974).

structure of relationships, some parts of which work against and some parts for the new setting.¹⁸ This fact gives credibility to phases or stages of development that must be examined. Third, the study Change Principles of Problem Formation and Problem Resolution by Watzlawick, Weakland, and Fisch presented two kinds of change: first-order change occurs within a given system which itself remains unchanged; second-order change changes the system itself.¹⁹

In Chapter III, "The Principal's Performance Framework," devised by the writer, depicts the relationships of the principal to the teachers, students, parents or community, and the staff of the superintendent. The framework illustrates the key elements involved when the principal or actor performs a role in front of the audiences.

Chapter IV integrates the principles of Goffman, of Sarason, and of Watzlawick, Weakland, and Fisch to produce guidelines for the school administrator such as a principal or assistant principal in a junior high school.

Chapter V presents the summary, conclusions and recommendations from this study.

Significance of the Study

This study is significant in that it may assist the school principal, the leader, to become a more effective leader in the total school setting. The study will dramatize the relationship that an effective school

¹⁸Sarason, p. 42.

¹⁹Watzlawick, Weakland, and Fisch, p. 11.

administrator must assume when interacting with the teacher audience, parent or community audience, student audience, and the audience of the superintendent's staff.

The school administrator will gain an understanding of and become aware of the difficulties associated with the creation of settings and the concept of change. With this information, the principal can prepare, execute, and maintain effective role performances.

CHAPTER II
REVIEW OF RELATED LITERATURE

This chapter focuses on three writings: Erving Goffman's The Presentation of Self in Everyday Life, of Seymour B. Sarason's The Creation of Settings and the Future Societies, and Change Principles of Problem Formation and Problem Resolution by Paul Watzlawick, John Weakland, and Richard Fisch. The authors' theses are presented in discussion form and are compared to or contrasted with a limited number of other authors in the field.

Goffman has presented a rich and vivid description of the implicit rules and strategies humans adopt when interacting with others. He suggested that whenever a person enters a situation, he "takes a line," presenting himself as a certain type of person. A convincing performance may require certain props, costumes, and settings. Some are solo performances; some involve teamwork. Some action is performed on the front stage while other action is performed on the backstage. Expressions such as verbal, facial, and postural behavior are expressed or repressed. Social interaction may be considered a means of "self-presentation," which may also be called "impression management."²⁰

²⁰Goffman, p. 208.

Self-Presentation Performances

Belief in the Part One is Playing

Goffman discussed two variations of performances. On one extreme the performer can be fully consumed by his own act, and be sincerely convinced that the impression of reality he fosters is reality. At the other extreme the performer is not taken in at all by his own routine. When a person has no belief in his own act and no ultimate concern with the beliefs of his audience, he is called "cynical." The term "sincere" is reserved for those who believe in the impression created by their own performance. Each performance provides the person with a position that has its own particular securities and defenses.²¹

Park's views compare favorably with the thesis held by Goffman:

It is probably no mere historical accident that the word person, in its first meaning, is a mask. It is rather a recognition of the fact that everyone is always and everywhere, more or less consciously, playing a role. . . . It is in these roles that we know each other; it is in these roles that we know ourselves.²²

Goffman offered the illustration of the raw recruit who initially follows army regulations to avoid physical punishment and eventually follows them so that his organization is not shamed, and his officers and fellow soldiers will respect him.²³

Individuals become either committed to the roles they play or alienated from those roles, according to Turner. He stated several

²¹Goffman, pp. 18-19.

²²Robert E. Park, Race and Culture (Glencoe, Ill: The Free Press, 1950), p. 249.

²³Goffman, p. 20.

propositions related to the conditions under which person and role are likely to merge:

1. Individuals tend to merge with those roles by which significant others identify them.
2. There is a tendency to merge role and person selectively so as to maximize autonomy and positive self-evaluations.
3. A person is more likely to merge with those roles in which investment has been greatest.²⁴

Front

Goffman defined "front" as the expressive equipment of a standard kind intentionally or unwittingly employed by the person during his performance. The setting is a standard part of the front and involves the furniture, decor, physical layout, and other background items which supply the scenery and stage props for the spate of human action played out before, within, or upon it. Geographically speaking, the setting stays put. The actor or performer who makes use of a particular setting as part of his performance cannot begin his act until he arrives at the appropriate place. The performers must terminate their performance when they leave that setting. There are exceptions to this idea because funeral processions, parades, and others allow the setting to move or follow the performer.²⁵

²⁴Ralph H. Turner, "The Role of the Person," American Journal of Sociology 48 (1978): 13.

²⁵Goffman, p. 22.

Personal front refers to the items that most intimately identify with the performer himself and follow the performer wherever he goes. These items include insignia of office or rank, clothing, sex, age, racial characteristics, looks, size, posture, speech patterns, facial expressions, body gestures, and the like. Goffman stipulated that some parts of the personal front are relatively fixed, and do not vary from one situation to another. Other portions or parts of personal front are mobile or transitory, such as facial expressions, and vary during a performance from one moment to the next.²⁶

Goffman further divided the stimuli that make up the personal front into "appearance" and "manner." Appearance refers to those stimuli that function at the time to tell us of the performer's social status, and of the individual's temporary ritual state. Appearance includes one's engagement in formal social activity, work, informal recreation, the celebration of a new phase in the season cycle or life cycle. Manner refers to those stimuli that function at the time to warn us of the interaction role the performer expects to play in the oncoming situation. A haughty, aggressive manner gives the impression that the performer expects to initiate and direct the course of verbal interaction.²⁷

Goffman indicated that one expects a confirming consistency between appearance and manner. Occasionally, however, appearance and manner tend to contradict each other.²⁸ The assertion by Goffman is that the social

²⁶Ibid., p. 24.

²⁷Ibid.

²⁸Ibid.

front, with certain exceptions, tends to claim facts that can be equally claimed for other different routines. He believes there are grounds for a large number of different acts to be presented from behind a small number of fronts, and this is a natural development in social organizations. For example, the perfume clerk in London wears a white coat in the performance of occupational tasks.²⁹

When an actor takes on an established social role, usually he finds that a particular front has already been established for it. Goffman stated:

Whether his acquisition of the role was primarily motivated by a desire to perform the given task or by a desire to maintain the corresponding front, the actor will find that he must do both. If the individual takes on a task that is not only new to him but also unestablished in the society, or if he attempts to change the light in which his task is viewed, he is likely to find that there are already several well-established fronts among which he must choose.³⁰

Bush and Simmons discussed the process of anticipatory socialization which makes the move into a new role more effective.³¹ This occurs when the individual is prepared ahead of time for the new role. He understands the norms associated with the new role, is aware of the expectations and rewards attached to that role, and begins playing the role while formally in the earlier position.

Goffman asserted that fronts tend to be selected and not created. Problems may be anticipated when those who perform a certain task are

²⁹Ibid., p. 25.

³⁰Ibid., p. 27.

³¹Diane Bush and Robert G. Simmons, Socialization Process Over the Life Course, ed. Morris Rosenberg and Ralph H. Turner (New York: Basic Books, 1981), p. 147.

forced to choose a suitable front for themselves from among several quite dissimilar ones.³²

Dramatic Realization

Goffman postulated that while in the presence of others, if the individual's activity is to become significant to others, he must mobilize his activity so that it will express what he wishes to convey during a split second in the interactions, as in the case of a baseball umpire's instantaneous decision. The umpire must give the impression to the audience that he is sure of his judgment.³³

When a group is examined, one finds that the members tend to invest their egos primarily in certain routines, giving less stress to the other ones they perform. A professional man may accept a very modest role in the street, in a shop or in his home. In the social sphere that encompasses his professional competency, he is more concerned with making an effective showing. He is concerned only with the routines from which his occupational reputation derives.³⁴

Idealization

Goffman suggested that a performance presents an idealized view of the situation and is quite common. When a person presents himself before others, his performance tends to incorporate and exemplify the officially

³²Goffman, p. 28.

³³Ibid., p. 30.

³⁴Ibid., p. 33.

accredited values of the society more than his behavior as a whole.³⁵

In the self-presentation mode, Cooley stated:

If we never tried to seem a little better than we are, how could we improve or "train ourselves from the outside inward?" . . . There is a cant not only of theology and philanthropy, but also of law, medicine, teaching, even science, since the more a particular kind of merit is recognized and admired, the more it is likely to be assumed by the unworthy.³⁶

Goffman assumed that if an individual is to give expression to ideal standards during his performance, then he must forego or conceal action which is inconsistent with these standards.³⁷ When inappropriate conduct is itself satisfying in some way, one finds it indulged in secretly. The actor may be engaged in a profitable form of activity that is concealed from his audience and is incompatible with the view of his activity that he hopes they will obtain. Errors are often corrected before the performance takes place, while telltale signs of errors and corrections are themselves concealed.³⁸

Many performances could not have been given had not tasks been done that were physically unclean, semi-illegal, cruel and degrading, but these facts are seldom expressed at the time of the performance. If the activity of a person is to embody several ideal standards, and if a good showing is to be made, it is likely that some of these standards will be sustained in public by the private sacrifice of others. Performers

³⁵Ibid., p. 35.

³⁶Charles H. Cooley, Human Nature and the Social Order (New York: Scribners, 1922), pp. 352-353.

³⁷Goffman, p. 41.

³⁸Ibid., p. 43.

often foster the impression that (1) they have ideal motives for acquiring the role they are performing, (2) they have ideal qualifications for the role, and (3) it was not necessary for them to suffer any indignities, insults, and humiliations, or make any tacitly understood "deals" in order to acquire the role.³⁹

Performers tend to foster the impression that the current performance of their routine and the relationship to their current audience have something special and unique about them. The spontaneous aspects of the situation are stressed while the routine character of the performance is obscured (the performer is unaware of just how routinized his performance really is). For example, in the doctor-patient relationship, the patient remembers everything about the specifics of the prescribed medication. The patient is incredulous and hurt that the doctor does not remember the same details.⁴⁰

Maintenance of Expressive Control

Goffman makes reference to the sign-accepting tendency of the audience that may misunderstand the meaning that a cue was designed to convey, or read an embarrassing meaning into gestures or events that were accidental, inadvertent, or incidental and not intended by the performer to carry any meaning whatsoever. Performers attempt to make sure that most of the minor events in the performance will occur in such a way as to convey either no impression or an impression that is

³⁹Ibid., pp. 44-46.

⁴⁰Ibid., p. 49.

compatible and consistent with the definition of the situation that is being fostered.⁴¹

A performer may accidentally convey incapacity, impropriety, or disrespect by momentarily losing muscular control of himself. He may fall, stumble, trip, belch, yawn, or accidentally impinge on the body of another participant. The performer may act in such a way as to give the impression that he is too much or too little concerned with the interaction. This performer may stutter, forget his lines, appear nervous or guilty, which kinds of affects momentarily incapacitate him as an interactant. The performer may allow his presentation to suffer from inadequate dramaturgical direction. The setting may have been left in disorder, readied for the wrong performance, or deranged during the performance.⁴²

Goffman stressed that one must be prepared to see that the impression of reality fostered by a performance is a delicate, fragile thing that can be shattered by very minor mishaps.⁴³

Misrepresentation

As members of an audience it is natural for us to feel that the impression the performer seeks to give may be true or false, genuine or spurious, valid or phony. So common is this doubt that we give special attention to features of the performance that cannot be readily

⁴¹Ibid., p. 51.

⁴²Ibid., p. 52.

⁴³Ibid., p. 56.

manipulated. This helps us to judge the reliability of the more misrepresentable cues in the performance. As Goffman stated,

When we think of those who present a false front or "only" a front, of those who dissemble, deceive, and defraud, we think of a discrepancy between fostered appearance and reality.⁴⁴

Because of the position performers place themselves in, at any moment in their performance an event may occur that will catch them and contradict what they have openly avoided. This event may bring immediate humiliation and possibly, permanent loss of reputation.

When we ask whether a fostered impression is true or false, we mean to ask if the performer is authorized to give the performance in question. We are concerned with the actual performance. On the discovery that we were associated with an impostor and out-and-out fraud, we know that he did not have the right to play the part. This person was not an accredited incumbent of the relevant status. The closer the impostor's performance approximates to the real thing, the weaker in our mind is the moral connection between legitimate authorization to play a part and the capacity to play it.⁴⁵

Individuals caught in the act of telling barefaced lies (unquestionable evidence that the teller knew he lied and willfully did so) lose during the interaction. Many audiences feel that if a person can once bring himself to tell such a lie, he can never again be fully trusted. White lies told by doctors and others are not thought to be horrendous.

⁴⁴Ibid., pp. 58-59.

⁴⁵Ibid., p. 59.

The purpose of the white lie is to protect others rather than to defend the self.⁴⁶

Performances may place a performer in a position of having nothing to hide, but somewhere in his activities there is something he is unable to reveal. Goffman revealed the larger the number of matters and of acting parts which fall within the domain of the role or relationship, the more likelihood for points of secrecy to exist. A discreditable disclosure in one area of a person's activity can throw doubt on the many areas in which he may have nothing to conceal.⁴⁷

Goffman emphasized the fact that the performances offered by impostors and liars are flagrantly false and differ from ordinary performances. However, both kinds are similar in that their performers must exert care to maintain the impression that is fostered.⁴⁸

Reality and Contrivance

Real performances are not purposely put together; they are unintentional products of the person's unself-conscious response to the situation. Contrived performances are viewed as something painstakingly pasted together, one false item or another, since there is no reality to which the items of behavior could be a direct response. For the performance to result in success, the witnesses must believe that the performers are sincere. Persons are usually what they claim to be, but false appearances are manageable. Some performances are carried off

⁴⁶Ibid., p. 62.

⁴⁷Ibid., p. 64.

⁴⁸Ibid., p. 66.

successfully with complete dishonesty, others with complete honesty, whereas neither of these is essential or dramaturgically advisable.⁴⁹

When a person moves into a new position and obtains a new role, he is not issued the full details on how to conduct himself. He is issued a few cues, hints, and stage directions with the assumption that his repertoire contains bits and pieces of performances that may be required in the new setting. A status, position, or social place is not a material thing, to be possessed and then displayed; it is a pattern of appropriate conduct, coherent, embellished, and well-articulated.⁵⁰

Regions and Region Behavior

Goffman suggested that a performance in the front region is an effort to give the appearance that this activity maintains certain standards which fall into two groups. One group's concern is the way the performer treats the audience while engaged in talk with them, acknowledged as matters of politeness. The other group of standards, decorum, is concerned with the way the performer comports himself while in visual or aural range of the audience but not engaged in talk with them. Goffman divided decorum into two subgroups. Moral requirements are ends in themselves and refer to rules regarding noninterference and nonmolestation of others, regarding sexual propriety, regarding respect for sacred places, and so forth. Instrumental requirements refer to duties such as the demands from the employer to the employee, care of property, and maintenance of work levels. Goffman maintained that an audience can subject

⁴⁹Ibid., p. 71.

⁵⁰Ibid., p. 75.

the front region to a continuous inspection in relation to decorum, but while the audience is engaged, only a few of the performers may be released to talk to the audience, thus demonstrating politeness.⁵¹

Goffman stated that accentuated facts make their appearance in the front region, and suppressed facts make their appearance in the back region. The back region of a performance is located at one end of the place where the performance is presented. The two regions are separated by a partition and a guarded passageway. The back region is located where the performer can reliably expect that no member of the audience can intrude. The vital secrets of the show are visible backstage and performers behave out of character while there. The passage from the front region to the back region is closed or hidden from members of the audience. Work regions, recreation regions, and regions that attend to human biological needs represent areas of backstage control.⁵²

However, there are regions that can function as both the front and back region. The private office of an executive may be utilized for business or pleasure. A region that is established as a front region for the regular performance often functions as a back region before and after each performance. Goffman cited the back region as the location where reciprocal familiarity determines the tone of social intercourse, and the tone of formality prevails in the front region. There is an informal or backstage language of behavior and another language of behavior for performances in the front region. Backstage conduct allows minor acts

⁵¹Ibid., pp. 107-108.

⁵²Ibid., p. 111.

that may be taken as symbolic of intimacy or disrespect for others present in the region. Front region conduct disallows such potentially offensive behavior. A person can transform any region into a backstage by invoking a backstage style.⁵³

Goffman indicated that persons of high rank tend to operate in small teams and spend much of their day engaged in spoken performances in contrast to working-class men who are members of large teams and spend much of their day backstage or in unspoken performance.

The higher one's place in the status pyramid, the smaller the number of persons with whom one can be familiar, the less time one spends backstage, and the more likely it is that one will be required to be polite as well as decorous.⁵⁴

Audience segregation is one measure of front region control. The inability to maintain and control the audiences leaves the performer in the position of not knowing the character he must project from one minute to the next. This makes it difficult to effect dramaturgical success in any role or performance. With the proper scheduling of one's performance, it is possible to keep one's audiences separated from each other and also to allow a few moments between performances to extricate oneself psychologically and physically from one personal front while taking in another.⁵⁵

⁵³Ibid., pp. 126, 128.

⁵⁴Ibid., p. 133.

⁵⁵Ibid., p. 137.

Unfocused and Focused Interaction

Behavior in Public Places by Goffman discussed unfocused interaction.

Unfocused interaction is communication that occurs when one person gleans information about another present as he passes in and out of his view. It deals with the management of sheer and mere copresence. Focused interaction occurs as persons gather together and cooperate to sustain a single focus of attention, typically by talking.⁵⁶

Unfocused interaction includes body idiom, involvement, and involvement shields. Body idiom is the individual appearances and gestures that convey information about the actor's social attributes, conception of himself, of others present, and of the setting. There is an obligation to convey or not to convey certain information when in the presence of others. There may be agreement not only on the meaning of the observable behaviors but also on the behaviors that should be observed. A person can stop talking but he cannot stop communicating through body idiom; that is, he cannot say nothing.⁵⁷

Involvement is to sustain some kind of cognitive and affecting engrossment in an occasional activity. The involvement that a person sustains within a particular situation is a matter of inward feeling, and the assessment must and does rely on some kind of outward expression.⁵⁸ These expressions may consist of dress, stance, facial expressions, and task activity.

⁵⁶Erving Goffman, Behavior in Public Places (New York: The Free Press, 1963), p. 24.

⁵⁷Ibid., pp. 33, 34.

⁵⁸Ibid., p. 37.

Involvement shields are barriers behind which individuals can safely do the things that ordinarily result in negative sanctions. This may be accomplished by blocking perception of bodily signs of involvement, objects of involvement, or both. Bedrooms and bathrooms are perhaps the main shielding places in Anglo-American society because these are the only rooms in which the solitary person can lock himself.⁵⁹

Goffman suggested that there were two types of involvements, subordinate and main involvement. The former expresses at least a surface respect for what is agreed should be the controlling business at hand. It is sustained in a muted, modulated, and intermittent fashion, expressing a continuous regard and deference for the official dominating activity.⁶⁰ Subordinate involvement may include smoking, chewing gum, knitting, and many others.

A dominant involvement places claim on the individual that may obligate him to recognize that social occasion. This involvement is an intrinsic part of the occasion in which the situation occurs and is preferential if not obligatory. This involvement may express his purpose for his presence.⁶¹

Focused interaction includes clusters of individuals with special communication licenses and mutual activities that can exclude others who are present in the situation. This interaction considers civil inattention and face engagements. Civil inattention gives to another enough

⁵⁹Ibid., p. 39.

⁶⁰Ibid., pp. 44-45.

⁶¹Ibid., pp. 50-51.

visual notice to demonstrate that one appreciates the other's presence. That is, a person admits openly to the seeing of another. This indicates that this person has no reason to suspect, fear, or wish to avoid the others present. Persons automatically open themselves up to like treatment when extending this courtesy to others. In other words, one is not ashamed of himself, the place, or the company.⁶²

Face engagements comprise instances in which two or more participants in a situation join each other in maintaining a single focus of cognitive and visual attention. For example, when individuals are together in the same situation they may engage in talk, lovemaking, formal discussions, personal servicing, and so forth.⁶³

Averting the eyes or an abnormal gaze is utilized by persons who sense an alienation from individuals around him. Persons may avoid eye contact with another when he wishes to control others' access to him. Mutual glances must be withheld to avoid encounters because eye contact may initiate face engagements.⁶⁴

In all situations, individuals present are obliged to retain some readiness for potential face engagements. Persons are obliged to respond because it is through such communication that their own interest may be served. For example, a stranger accosts another to tell him he dropped something or that a bridge is out.

⁶²Ibid., p. 84.

⁶³Ibid., p. 89.

⁶⁴Ibid., pp. 94-95.

Goffman stated that a person can make himself available to others in the expectation that they will restrain calls on his availability and not make him pay too great a price for his being accessible. The right to initiate contact is balanced by the duty to take his point of view and initiate contact only under circumstances that he notes are justified. That is, they must not abuse the privileges.⁶⁵

Also associated with focused interaction are cognitive and social recognition. The former is the process by which a person places or identifies another, linking the sight of him with a framework of information concerning him; that is, his personal identity such as his name, specific configuration of statuses, or personal biography. It is the process through which we socially or personally identify the other.⁶⁶

Social recognition is the process of openly welcoming, or at least accepting, the initiative of an engagement, as when a greeting or smile is returned. It is a glance specifically functioning as a ceremonial gesture of contact with someone.⁶⁷

The Interaction Order

Goffman argued that social interaction is identified as that which uniquely transpires in social situations; that is, environments in which two or more persons are physically in one another's response presence. Individuals can participate in social situations only if they bring their bodies and accoutrements with them (in the presence of others) and this

⁶⁵Ibid., p. 106.

⁶⁶Ibid., p. 113.

⁶⁷Ibid.

equipment is vulnerable by virtue of the instrumentalities that others bring with their bodies. One becomes vulnerable to physical assault, sexual molestation, obstruction of movement, and coercive exchange-- that tacit bargain through which one cooperates with the aggressor in exchange for the promise of not being harmed as much as one's circumstances allow.⁶⁸

Goffman stated that a great deal of the work of organizations such as decision-making, transmission of information, and the close coordination of physical tasks requires face-to-face interaction. This interaction is vulnerable in that one can be persuaded, cajoled, flattered, intimidated, or influenced by effects only achievable in face-to-face dealings.⁶⁹

He stressed that there are people-processing encounters in which the impression subjects make during the interaction affects their life changes; for example, the placement interview conducted by school counselors, personnel department psychologists and courtroom officials. In other words, everyone is a gatekeeper in regard to something.⁷⁰

He argued that in this society there are four critical diffuse statuses: age-grade, gender, class, and race. These statuses share two critical features: (1) they constitute a cross-cutting grid on which each individual can be relevantly located with respect to each status, and (2) the placement in respect to the attributes is evident by virtue

⁶⁸Erving Goffman, "The Interaction Order," American Sociological Review 48 (February 1983): 2.

⁶⁹Ibid., p. 8.

⁷⁰Ibid.

of the markers our bodies bring with them into social situations. That is to say that one can almost always categorically identify another in these four ways.⁷¹

The Creation of Settings

Before the Beginning

Sarason believes the history of a setting explains the content of its creation and development in three ways: (1) in terms of a single dominant personality, that is, some combination of a single individual's temperament, intellect, and motivations; (2) in terms of its "zeitgeist," that is, what is in the air derived from the existing social structure; and (3) a combination of its psychological and sociological conceptions. The major obstacle to understanding the creation and development of settings is the lack of detailed descriptions of their "material history."⁷²

Each setting in part views itself in terms of other settings in the larger organization. The settings are in competition with each other for resources which will enable them either to remain where they are or to grow. In a dynamic system that is ever changing, each setting's "behavior" is based on the assumption that a change in one part is likely to have effects on other parts of the system.⁷³

Sarason argues that the before-the-beginning period contains organizational dynamics that work against rather than for the new setting in

⁷¹Ibid., p. 14.

⁷²Sarason, p. 24.

⁷³Ibid., p. 28.

that its heritage is marked by real or potential conflict. The decision to create a new setting reflects two considerations: the opinion that the existing settings are inadequate, and the awareness that the conflicts that emerged during the decision process were of such strength and quality as to make a new setting a possibility.⁷⁴

Sarason acknowledged that there is a before-the-beginning phase that involves the nature and structure of existing settings, but its relation to and effect on the creation of the new setting are not obvious. One is aware that there is a relevant history of past endeavors but this is largely ignored or has no conceptual significance. The past endeavors are identified in terms of ideas and values and not in terms of their development, organization, and problems. One has to know this history in such a way that its dilemmas, mistakes and solutions can be used productively now.⁷⁵

Sarason emphasized that the new setting has a "superior" mission; that is, it competes with existing settings in the realm of ideas and values. Any proposed new setting confronts a preexisting complicated structure of relationships, parts of which work for and parts of which work against the creation of the new setting. An individual's relation to a proposed setting involves or implies actual or potential relationships with many other settings and this totality has an understandable past and a significant future. The new setting reflects the history of relationships among diverse but related settings. Historical knowledge

⁷⁴Ibid., pp. 30-31.

⁷⁵Ibid., pp. 34-36.

must be utilized by the new setting so that it will be true to its purposes.⁷⁶

The Leader and the Beginning Context

Sarason discussed the preference to "choose the leader from the ranks" or to "promote from within." The more knowledge the leader has of the earliest phases of the existing setting, the smoother the implementation process and the more successful the new setting. Choosing from within avoids the morale problems that can occur when an outsider is brought in. This assumption has a surface plausibility which does not stand up in practice as frequently as one might expect.⁷⁷

The choice of the leader involves far more than considerations of personality or even professional competence or intellectual ability. Individuals or small groups who choose a leader frequently do not themselves possess the necessary understanding of the dynamics and ramifications of the context out of which the new setting emerged. When leaders choose leaders, they create a morale problem regardless of whether they choose from within or without. Sarason stressed that the leader who is chosen for the new setting receives no help or direction in problems which stem from the origins of the new setting.⁷⁸

Those who create settings always have a timetable. As events begin to invalidate the time perspective, the response to the present can be invaded by all kinds of factors that disrupt relationships. Persons must

⁷⁶Ibid., pp. 37, 42.

⁷⁷Ibid., p. 48.

⁷⁸Ibid., pp. 49, 52.

structure the future time wisely and adhere to it. To the outsider this may appear to be authoritarian, forceful, or stubborn. A timetable may also be viewed as a compulsiveness manifesting itself in a structured future from which one cannot or should not deviate.⁷⁹

The existence of a definite timetable usually creates a present dominated by a future, which on arrival is not the future imagined. The enthusiasm and sense of mission that characterize a new setting are reflections of an orientation to a future point that defines success when reached. When concern about future goals dominate the present, remembering and confronting history are a luxury.⁸⁰

Sarason suggested that those who create settings have conceptions about what will be involved, but in the main, they are reduced to four factors: strength of motivation, values, personality, and power. What is missing and needed are conceptions which place these factors into a historical, sociological, and developmental or longitudinal context reflecting the supraindividual realities.⁸¹

Formation of the Core Group

A leader thinks in terms of a core group which is usually a handful of people who will be near him both interpersonally and in status. The core group is his "family" to whom he develops responsibilities and powers second only to his own. The safest and most obvious prediction one can make about the relationship between the leader and a core

⁷⁹Ibid., pp. 61-62.

⁸⁰Ibid., p. 63.

⁸¹Ibid., p. 67.

individual is that problems will arise. The failure to anticipate that there will be problems and to develop rules of governance to solve them can be a problem in itself.⁸²

When a leader makes a decision about something that has divided the core members, some core members "win" while others "lose." In such instances, the leader may not have addressed why the core members were divided or the consequences of his decisions.⁸³

Sarason assumed that a society based on law is preferable to one based on men. Laws come into existence as commentary on the past and as a preventive in the future. Laws are rooted in, or are a response to, some aspect of social practice and reality. Settings are created more frequently on a vague concept of man than they are on a concept of law rooted in the realities of what usually happens or what possibly can happen.⁸⁴

Sarason stressed that the major purpose of a setting is inherent in what it does for or provides to others. The factor deemphasized in the creation of a setting consists of two parts: the professional and personal growth and change of its members, and ways in which their mutuality can enhance this growth and change.⁸⁵

Sarason insisted that the myth of unlimited resources refers to the belief that our society is capable of training enough professional

⁸²Ibid., pp. 73, 74.

⁸³Ibid., p. 78.

⁸⁴Ibid., p. 80.

⁸⁵Ibid., pp. 85-86.

people to render the quantity and quality of service that people require. The belief is that one will be able to hire enough people, all of whom will be equally competent and effective, to provide services to eligible people in the best way those services should be rendered.⁸⁶

Most people are aware of the "scarcity of nature," a limit to natural resources. When one observes the creation of settings devoted to human service, the myth of unlimited or even adequate resources, rather than the realities of scarcity, dominates the thinking.⁸⁷ When a person accepts the limitation of resources two things occur: one confronts the context of one's values, and the formulation of the problem and its solution take on different forms. Sarason made the following assumptions: there is a serious limitation of human resources; the limitation is in part, a function of how the problem is defined; confronting the limitation of resources involves values by which problems of priorities and distribution will be established; and in the creation of a new setting, the limitation of resources tends to be denied.⁸⁸

According to Sarason, from the leader's standpoint, the projected new setting is viewed and experienced in a personal way in which the near and future picture contains the fulfillment of his personal and intellectual strivings. The picture is depicted as happy because it is so fulfilling of his individual wishes. As soon as the leader is selected he becomes absorbed in planning his setting. There enters his thinking a

⁸⁶Ibid., p. 97.

⁸⁷Ibid., p. 101.

⁸⁸Ibid., p. 108.

dichotomy between "I" and "they;" "mine" and "theirs;" "my plans" and "their plans;" "my needs" and "their needs." Quite early the leader "possesses" and "owns" the new setting in a way that implicitly assumes a conflict between it (him) and the "outside" world. This psychological ownership is a change in the relation of the leader to the existing organization of settings as well as to the world. The leader in a new setting is viewed by others in a variety of ways: with good wishes on the one extreme to death wishes on the other. Either of the extremes reinforces the leader's tendency to view the new setting in the most personal and protective terms.⁸⁹

A distinction was made between two types of leaders: those who seek leadership primarily for reasons of power, privilege, and attention, and those for whom the new setting will reflect certain substantive ideas. To illustrate, it is the difference between someone who seeks to be the leader of a new setting because of the purposes of the new setting and someone for whom the new setting is an opportunity to demonstrate his administrative skills. The contrasting motives exist in varying degrees in all leaders. There are no pure types.⁹⁰

The feeling of superiority and the desire to be so viewed make it extraordinarily difficult for a leader to make public whatever doubts and anxieties he may experience about himself in relation to the setting.

Each human being knows there is a part of him that he cannot or will not publicly articulate and that even when he tries to do

⁸⁹Ibid., pp. 192-194.

⁹⁰Ibid., p. 196.

so words are inadequate vehicles for reflecting the concreteness nuances of experiences.⁹¹

Sarason defined the leader's conception of mutuality as what the leader expects of and gives to others and what others should expect and give to him. The point is that the leader's conception of his role prevents him from making his view of mutuality explicit in structuring his relations. There are no agreed upon "constitutional" arrangements which require the leader and his group to deal with the issue and problems associated with mutuality.⁹²

Change

First-Order and Second-Order Change

Watzlawick, Weakland and Fisch discussed Group Theory and the Theory of Logical Types in relation to change. Group theory, the accommodation for first-order change, makes the following assumptions:

1. A group is composed of members which are all alike in one common characteristic. Group members must have a common denominator.
2. One may combine its members in varying sequence and the outcome of the combination remains the same. If one makes four moves of one unit (e.g., one foot, one yard, one meter) each in the direction of each of the cardinal points, he is always back at the starting point at the completion of the fourth move. Here is changeability in process, but invariance in outcome.
3. Each group contains an identity member such that its combination with any other member maintains that other member's identity. The identity member is silence for the totality of all sounds in a group. The member may act without making a difference.

⁹¹Ibid., p. 223.

⁹²Ibid., p. 224.

4. The combination of any member with its opposite gives the identity member, for example, $5 + (-5) = 0$. This combination produces a change, but this result is itself a member of and contained within the group.⁹³

According to Watzlawick et al., the Theory of Logical Types starts with the concept of collections of "things" which are united by a specific characteristic common to all of them. The components of the totality are called "members" and the totality itself is called "class" rather than group. The basic premise is that whatever involves all of a collection must not be one of the collection. The authors stated that mankind is the class of all individuals, but it is not itself an individual. This theory requires that logical levels must be kept strictly apart to prevent paradox and confusion; proceedings from one level to the next higher (from member to class) entails a shift, a jump, a discontinuity or transformation.⁹⁴

The Theory of Logical Types gives one a framework for considering the relationship between member and class and the metamorphosis that is in the nature of shift from one logical level to the next higher level. This theory accommodates the second-order change: a change of change. Second-order change can only be introduced from the outside and cannot be generated from within the group.

Group Theory is associated with the first-order change, occurring within a system that itself remains invariant. The authors indicate that

⁹³Watzlawick, Weakland, and Fisch, pp. 3-5.

⁹⁴Ibid., pp. 6, 9.

Group Theory and the Theory of Logical Types are compatible and complementary.⁹⁵

The authors indicated that in real life, human problems may continue at a steady level of severity. Many difficulties do not stay the same for long, but tend to increase and escalate if no solution or a wrong solution is attempted. For example, the Prohibition Era involving alcohol was worse than the cure. The "more of the same solution" legal repression was greater than the problem. Prohibition was the problem. Without the solution there would be no problem.⁹⁶ Under certain circumstances problems will arise as the result of wrong attempts at changing an existing difficulty. This type of problem formation may surface on any level of human functioning, individual, dyadic, familial, or societal. The term "terrible simplification" means mishandling a problem as though it did not exist, or seeing no problem where there is one.⁹⁷

The authors assert that utopian attempts at change create impasses in which it often becomes impossible to distinguish clearly between problems and "problems," and between "problems" and "solutions." The drunk searches for his keys under a street light, but this was not the location where the keys were lost. Here, the attempted solution is the problem. Again, more of the same.⁹⁸

⁹⁵Ibid., pp. 10, 11.

⁹⁶Ibid., pp. 32, 33.

⁹⁷Ibid., pp. 46-47.

⁹⁸Ibid., p. 56.

At the root of the utopian syndrome lies a discrepancy between actuality and potentiality, between the way things are and the way they should be according to the stated or certain premise. The premise that things should be a certain way is the problem that requires change and not the way things are.⁹⁹

The authors presented the following assumptions about second-order change:

1. Second-order change is applied to what in the first-order change perspective appears to be a solution because in the second-order change perspective this "solution" reveals itself as the keystone of the problem whose solution is attempted.
2. While first-order change appears to be based on common sense (the more-of-the-same "recipe"), second-order change usually appears weird, unexpected, and uncommon-senical; there is a puzzling, paradoxical element in the process of change.
3. Applying second-order change techniques to the "solution" means that the situation is dealt with in the here and now. These techniques deal with effects and not their presumed causes; the crucial question is what? and no why?.
4. The use of second-order change techniques lifts the situation out of the paradox-engendering trap created by the self-reflexiveness of the attempted solution and places it in a different frame.¹⁰⁰

The art of reframing means to change the conceptual or emotional setting or viewpoint in relation to which a situation is experienced. This conceptual change is placed in another frame which fits the facts of the same concrete situation equally well or better, thus changing its entire meaning. Reframing in abstract terms means changing the emphasis from one class membership of an object to another equally valid class

⁹⁹Ibid., p. 61.

¹⁰⁰Ibid., p. 83.

membership or introducing such a new class membership into the conceptualization of all concerned.¹⁰¹

Reframing needs to take into account the conceptual framework--the views, expectations, reasons, and premises--of those whose problems are to be changed. Reframing presupposes that the therapist learn the patient's language. This form of problem resolution is similar to the philosophy and technique of judo, where the opponent's thrust is accepted and amplified by yielding to and going with it. Reframing is teaching a different game that makes the old one obsolete.

The authors suggested a four-step procedure in the practice of change:

1. A clear definition of the problem in concrete terms;
2. An investigation of the solutions attempted so far;
3. A clear definition of the concrete change to be achieved;
4. The formulation and implementation of a plan to produce this change.¹⁰²

Summary

This chapter focused on the writings of Goffman, of Sarason, and of Watzlawick, Weakland and Fisch. Goffman discussed belief in the part one is playing which included sincere performances--persons who believed in the impression created by their own performance, and cynical performances--persons who have no belief in their own act and no concern with the beliefs of their audiences. In addition, he distinguished front--the expressive equipment of a standard kind employed by persons

¹⁰¹Ibid., pp. 95, 98.

¹⁰²Ibid., p. 110.

during their performances, from personal front--the items that intimately identify with and follow the performers wherever they go. He referred to dramatic realization as the activities created by the actor to influence significant others. Idealization was observed when a performance exemplified the values of society more than his behavior as a whole because he must conceal actions that are inconsistent with certain standards. Maintenance of expressive control stressed that a performance was delicate and easily shattered by minor mistakes. In the same vein, misrepresentation observed that at any moment in a performance an event may occur that will contradict a public stance. His discussion on reality and contrivance emphasized that some performances are totally honest and some are totally dishonest, but neither is essential or advisable. He indicated that accentuated facts appear in the front region and suppressed facts appear in the back region; therefore, audience segregation was a means for front region control.

In addition to The Presentation of Self in Everyday Life, Behavior in Public Places by Goffman was examined. The latter publication discussed unfocused and focused interaction. Unfocused interaction is the management of sheer copresence which includes body idiom, involvement, and involvement shields. Body idiom conveys information about the actor's social attributes, the setting, of others present, and so forth. Involvement was discussed as an inward feeling that relied on some kind of outward expression which may include stance, dress, task activities, and others. He discussed two types of involvements, subordinate and

main. The former expresses a continuous regard and deference to the dominating activity, and the latter obligates one to recognize that social occasion.

He indicated that focused interaction occurs as persons gather and cooperate to sustain a single focus of attention. This interaction included civil inattention--persons give others enough visual notice to appreciate the others present; and face engagements--when two or more persons join each other to maintain a single focus of cognitive and visual attention.

Sarason discussed the Creation of Settings and the Future Societies which included before the beginning, the leader and the beginning context, and formation of the core group. The before-the-beginning phase contained organizational dynamics that worked against rather than for the new setting. He argued that the leader and the beginning context stressed concern about future goals dominated the present and confronting history was a luxury. His discussion on formation of the core group acknowledged that problems are a certainty between core group members and the leader. Provisions must be made for the personal and professional growth of all audiences in the organization by the leader.

Watzlawick, Weakland, and Fisch discussed Group Theory and the Theory of Logical Types in relation to first-order and second-order change, respectively. The former is observed as a change within the system that does not vary the outcome or results. The latter emphasized the art of reframing which means that the conceptual change is placed in another frame which fits the situation better, thereby changing its meaning.

This chapter presented the theories and assumptions of Goffman, of Sarason, and of Watzlawick, Weakland, and Fisch. Together they advance some insight into that which makes for an effective relationship between the principal and the audiences in the school setting in achieving desired goals and objectives. In Chapter III, the writings of these theorists form the bases from which frameworks, developed by the writer, illustrate the relationship of the principal to the audiences of the school.

CHAPTER III
THE PRINCIPAL'S PERFORMANCE FRAMEWORKS

The school is a social system with belief patterns, authority structures, and formal and informal communication systems. The principal influences each of these elements.¹⁰³ The principal brings to the school with his background of training, professional beliefs, attitudes, and experiences that condition his approach to goals and objectives; the principal is the key person in the school setting.

A study by Weldy suggests that schools with principals with very high expectations of themselves, their teachers, and students dominate the upper end of the effectiveness scale.¹⁰⁴ Principals must be first and foremost an advocate for the students. Schools exist for students and the principal must work vigorously in the school and community for the best opportunities and programs.¹⁰⁵

Roe and Drake indicate that the principal exerts leadership in the community at large and within the communities or audiences of the school.¹⁰⁶ The principal's responsibility is to work with the audience and publics of the school to achieve goals and objectives through

¹⁰³Lloyd E. McCleary and Scott D. Thompson, The Senior High School Principalship (Reston, Va: National Association of Secondary School Principals, 1975), p. 5.

¹⁰⁴Gilbert R. Weldy, Principals: What They Do and Who They Are (Reston, Va: National Association of Secondary School Principals, 1979), p. viii.

¹⁰⁵*Ibid.*, p. 22.

¹⁰⁶Roe and Drake, p. 70.

participation and communication. He is interested in the quality of life for each person associated with the school setting. A principal's effectiveness or ineffectiveness is judged on his ability to direct the audiences of the school to the achievement of goals and objectives.

The Principal's Performance Framework was developed and created from assumptions and theories presented by Goffman in The Presentation of Self in Everyday Life. The Framework contains four major sections: The Principal's Performance Repertoire, Expectations and Covenants of the Principal and the Audiences, the School Audiences, and Audience Segregation. The principal's relationship with each audience is graphically illustrated in the Principal's Performance Framework in Figure 1.

The Principal's Performance Repertoire

The principal's performance repertoire is composed of many roles that are significant to the principal in the school setting.

Identities

The successful school administrator acquires a sensitivity to his past and present. He questions himself as to his values and experience, to determine who or what he really is. The Framework illustrates that the principal is the sum total of his experiences, which include professional, educational, formal and informal interactions. The principal's self-examination of past and present experiences reveals patterns of behavior that can provide insight and understanding of "self."

Brubaker has suggested the sharing of biographies by the principal to attain a deeper understanding of himself and his personal style of

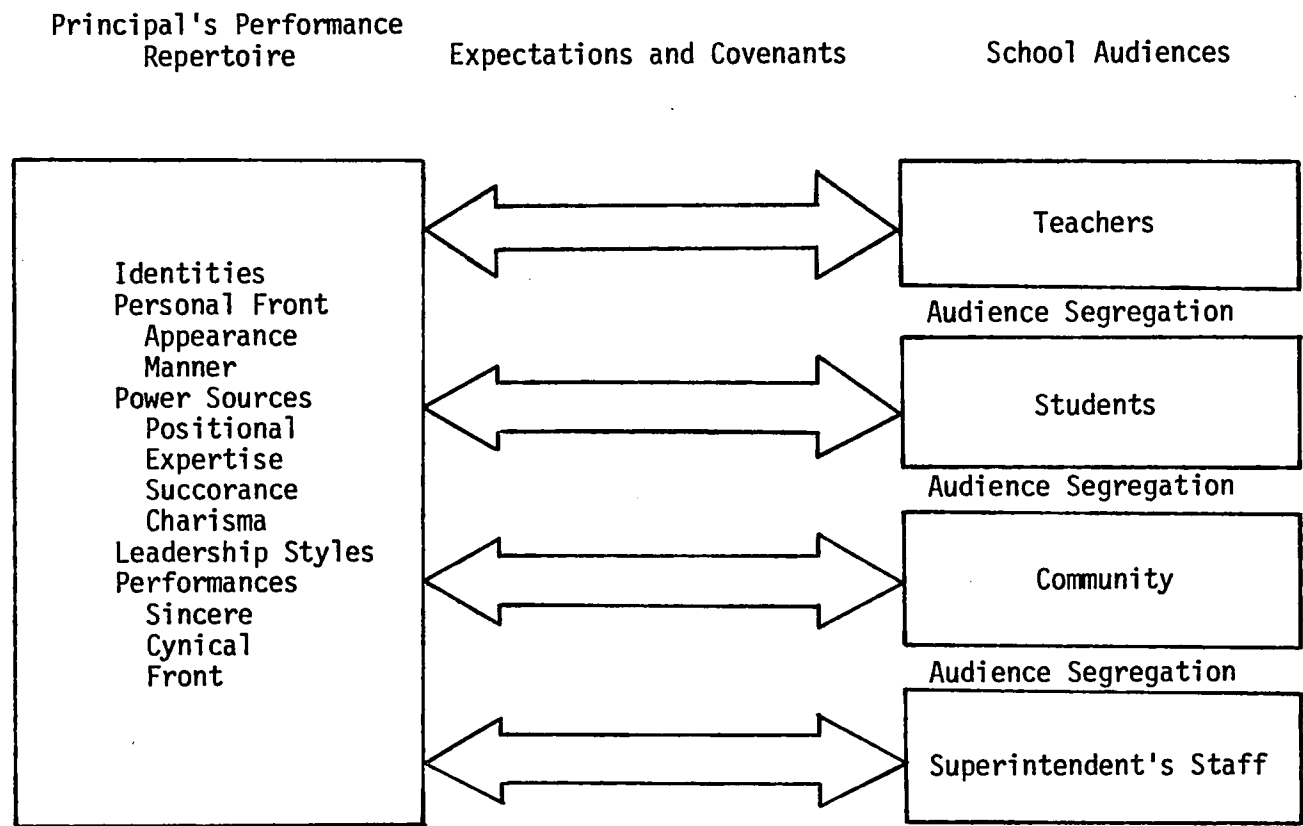


Figure 1. The Principal's Performance Framework

leadership.¹⁰⁷ The experiences of any principal are unique for that particular principal and setting; indeed, principals must be aware of their personal experiences--of their background, whether socioeconomically low, middle, or upper class; of their university experiences, whether at a small, traditional black college or a large varied university; and of their surroundings, whether rural or urban. The Framework stresses that the principal must examine his own biography in order to direct or orchestrate his audiences and achieve goals.

Personal Front

Each principal is unique in the characteristics and qualities he brings to the school setting. The Framework develops the concept of personal front which includes the insignia of office, dress, age, size, looks, posture, racial characteristics, speech patterns, facial expressions, gestures and many others. It must be emphasized that the expressive equipment or sign vehicles of the principal such as racial characteristics are fixed and do not vary from one situation to the next. Other equipment employed by the principal such as facial expressions is transitory and may vary during a performance from moment to moment.

The Framework divides the personal front into appearance and manner. Appearance identifies the principal's social status, whether he is engaged in a formal social activity, work, or informal recreation. Manner informs and warns of the role the principal expects to play while interacting with the audience. An aggressive manner indicates that the

¹⁰⁷ Dale L. Brubaker, Curriculum Planning: The Dynamics of Theory Practice (Glenview, Ill: Scott, Foresman, 1982), p. 71.

principal expects to initiate and direct the interaction. A passive, meek or apologetic manner declares that the performer expects to follow the lead of others.

It is important for the successful school administrator to maintain consistency between manner and appearance. If the principal is knowledgeable on educational law, policies and issues, then his manner of articulation should indicate competency. Workshops for principals emphasize manner and appearance during interaction with parents, teachers, committees, or any other audience. There are occasions when the principal is more effective wearing a sportcoat than a business suit, and there are times he is more effective behind his desk than away from his desk. The audiences expect consistency between appearance and manner from the principal.

Power Sources

The principal's style of leadership reflects his personal experiences. This Framework applies the leadership style to a situational setting in which the following factors are evaluated: the principal's personality; the requirements of the tasks; the expectations, needs, and attitudes of the audiences; and the environment of the setting. Corroborating the Framework, Tilley, House, and Kerr argued that the following factors have an impact on the leader's effectiveness:

1. History of the organization
2. Age of the leader and his previous experience
3. Age of the previous incumbent in the leader's position
4. Community in which the organization operates
5. Particular work requirements of the group
6. Psychological climate of those being led
7. Kind of job the leader holds

8. Size of the group led
9. Degree to which group-member cooperation is required
10. Cultural expectations of subordinates
11. Group-member personalities
12. Time required and allowed for decision making.¹⁰⁸

The Framework includes different leadership styles and decision-making processes because each depends on the circumstances of the situation or activity. Brubaker's discussion on the "sources of power," positional authority, expertise, succorance, and charisma is applicable in this Framework.¹⁰⁹

Positional authority is the power associated with the respective levels in an organization. According to their order of position, superordinates give orders, commands, and directives to subordinates. In a school setting, the principal is subordinate to the superintendent, but superordinate to a teacher. The successful principal uses his source of power discretely.

Expertise is another source of power for the principal. The highly competent principal recognizes that members of the different audiences are willing to cooperate and assist whenever possible, out of deference to his expertise which derives from his professional and educational experiences.

Succorance such as counseling or coaching is an informal kind of power that gives emotional support and encouragement to school audiences. This source of power may be used by the principal on a one-to-one basis.

¹⁰⁸Alan G. Tilley, Robert J. House, and Steven Kerr, Managerial Process and Organizational Behavior, 2nd ed. (Glenview, Ill: Scott, Foresman, 1976), pp. 241-242.

¹⁰⁹Brubaker, pp. 6-7.

For instance, the principal may encourage parents to serve on school committees or he may offer encouragement to a teacher during an emotional crisis. Charisma or personal magnetism and charm, can be an effective source of power if the principal's personality has this asset when interacting with the different audiences.

The principal utilizes all the qualities and resources available to guide his audiences to goals and objectives. He selects the power source most effective for the given situation. The source of power he uses in one situation may not be required in another. For example, the principal may use charm for the superintendent's staff to elicit new sports equipment for the school, and then use positional authority to settle a conflict with a parent over a misbehaving student.

Leadership Styles

The principal determines which source of authority and style of leadership is compatible with his personality and goals. He projects himself as leader in terms of manner, appearance, experiences, goals and objectives in relation to the audiences he deals with. His interaction with the booster club president in reference to fund-raising projects, for example, requires different leadership skills and sources of power than his interaction with an insubordinate teacher or student. The leadership style continuum ranges from an Exploitive Authoritative Style to a Participative Democratic Style according to Likert's systems.¹¹⁰

¹¹⁰Rensis Likert, The Human Organization (New York: McGraw-Hill, 1967), p. 4.

Tannenbaum and Schmidt present leadership as ranging from Boss-Centered to Subordinate-Centered.¹¹¹

Performances

Sincere

The successful principal must be sincere in his performance; that is, he must himself believe in the impression fostered by that performance. He must define the situation for the audiences present during the interaction. His performance, behavior, and actions must reflect a sincerity. For example, this writer, as a principal, notified a parent whose child was a discipline problem in the classroom. The writer and parent conferred face-to-face and a sincere performance took place; the writer expressed a genuine, caring, and honest interest in the child's problems. The conference resulted in an improvement in the child's behavior. Because confidence was established earlier, the parent notified the writer that her son had contemplated suicide over the weekend. In this instance, the writer exhibited a sincere performance observed by the audience. The writer defined the situation and maintained consistency between manner and appearance. The audience's evaluation of the performance substantiated the quality of the performance.

Cynical

Goffman describes a cynical person as "having no belief in his own act and no concern with the beliefs of his audiences." The principal's

¹¹¹Robert Tannenbaum and Warren H. Schmidt, "How to Choose a Leadership Pattern," Harvard Business Review 54 (May-June 1973), p. 162.

continued cynical performances will destroy his credibility as an effective leader. The principal or any leader cannot continue to act in a cynical role because the audiences will permit it for only a brief period of time before they initiate corrective measures.

A few situations may warrant the use of a cynical performance. A doctor may prescribe a placebo to a patient who actually believes he is sick. A salesperson may withhold the actual size of a garment for the sake of a customer's self-image. A teacher or principal may employ a cynical performance in the presence of a student to modify his behavior. Such performances must be examined and evaluated carefully for their potential effect.

Front

The Principal's Performance Repertoire contains his "front," which is that part of the performance that defines the situation for the audience. It is the expressive equipment intentionally or unwittingly employed by the principal at the time of interaction. The Framework suggests that the principal is required to define the situation for the audiences, committees, clubs, or groups in the school setting.

The setting is an integral part of the front. Depending on the goals and objectives, the school administrator may wish to conduct a meeting in his office, the library or the classroom. The setting involves furniture, decor, the physical layout, and other background items that supply the scenery. Goffman argued that a setting remains in one geographical location. The principal's or performer's act cannot start until the principal arrives at the setting, and the act must

terminate when he leaves. The total school environment makes up the setting for the principal. His roles and performances in view of the audiences reflect a consideration of the expectations of the publics.

If the principal's activity is to become significant to the audience, he will mobilize this activity to express during the interaction what he wishes to convey. The principal and teacher may be in conflict concerning an evaluation, but it is the responsibility of the principal to educate the teacher on the reasons for the rating.

The principal conceals or foregoes action and behaviors that are inconsistent with ideal standards of the principalship. When the principal interacts with the audience, he exhibits leadership skills that are associated with effective principals. He knows the precise moment to speak or to listen; he knows the value of eye contact and body gestures. His decisions are based on facts, and he conceals personal prejudices and biases.

An old maxim to apply to the personal front of the successful principal in relation to this Framework is to "put your best foot forward." He must prepare for each school audience. The professional, educational, formal, and informal experiences located in the principal's repertoire serve as benchmarks for the performances which the committees, clubs, associations, or groups are observing. The principal must make maximum use of all resources available.

Expectations and Covenants

The principal and each school audience have a shared interest in each other. The audiences have legitimate expectations of the principal

and the principal has real expectations of the audiences. The principal is most effective when the expectations of the audience agree with his. Brubaker advocates the use of covenants, whereby the principal enters into agreements with the audiences of the school to establish a kind of predictability in the relationships.¹¹² Covenants can be any of four types: those of low intensity and duration, of high intensity and brief duration, of low intensity and long duration, and of high intensity and long duration. The covenants are equally applicable to the Principal's Performance Framework in terms of expectations of all participants. The expectations, agreements, or covenants flow in two directions, from the audience to the principal and from the principal to the audiences. The audience's inability to predict somewhat the action and role performance of the principal can create confusion and lead to conflicts.

A covenant that is of little intensity and a brief duration is pleasant and taken lightly, according to Brubaker.¹¹³ The principal may give a speech to the P.T.A., for example, or issue an award to a person in the community. An example of a covenant that is very intense and lasts for a short period of time would be a highly structured board session in the appeal process, attended by the principal, teacher, and parents. These persons work closely together in a setting for a brief stated period. The long-term but not intense covenant is the most common. The principal meets with the different organizations and audiences in the school on a periodic basis. The committees may simply

¹¹²Brubaker, pp. 38-39.

¹¹³Ibid.

affirm traditionally made decisions. The rarest covenant is intense and long duration. The superintendent may request the principal and parents to serve on a committee to evaluate programs or facilities or to redraw attendance zones. Decisions from this covenant have far-reaching effects on members of the organization and community.

The Framework's application of expectations and covenants serves as an evaluation device for observing the relationship of the principal and the audiences in the school setting. Expectations and covenants add a degree of predictability to the audiences which helps to eliminate confusion and conflicts.

School Audiences

The Framework pictures the principalship as a collective representation because different roles and practices are employed from the same front. The principal's performance may reflect sympathy, arrogance, cynicism, jealousy, competence or other attributes from the same "front." The audience may misunderstand the meaning a cue was designed to convey or read an embarrassing meaning into a gesture that was an accident. The principal knows that audiences will pounce on trifling flaws when they are skeptical of the performance. The principal, as school leader and administrator, is aware that the impression fostered by a performance is a delicate and fragile thing that can be shattered by minor mishaps.

Members of the audience may feel that the impression or performance of the principal is true or false, genuine or spurious, valid or phony. Shame, guilt, or fear prevent the principal from consistently misrepresenting the performances and the facts. The audiences give special

attention to features of the performance that cannot be readily manipulated.

A barefaced lie occurs when there is unquestionable evidence that the principal knows he is lying; for example, when he makes public acknowledgment that he was in a certain place at a specified time when he was not. Performers discovered telling barefaced lies during interaction with audiences forfeit credibility. The audience naturally takes the premise that if the principal tells lies he should never be trusted.

Audiences are more receptive to "white lies" from the performer-- that is, a lie told to save the feelings of the audience. A white lie may be utilized in a conversation with a teacher or student to improve their self-concept. Communication techniques such as innuendoes, strategic ambiguities, and crucial omissions allow the principal to profit without, technically, telling any blatant lies.

Audience Segregation

The principal ensures that his performance is observed by the appropriate audience. The principal employs audience segregation in which the audience, before whom he plays one of his parts, will not be the same audience before whom he plays a different part in another setting.

This concept was summarized by James:

We may practically say that he has as many different social selves as there are different groups of persons about whose opinion he cares. He generally shows a different side of himself to each of these different groups. . . . We do not

show ourselves to our children as to our club companions, to our customers as to the laborers we employ, to our own masters and employers as to our intimate friends.¹¹⁴

The successful principal engineers his performance to fit a particular audience.

Backstage Region

The Framework illustrates, in Figure 2, that the principal may interact with certain members of the audiences informally in the backstage region. The backstage region is the place where suppressed facts appear and where the impression fostered by the principal is knowingly contradicted. It is where performances are painstakingly fabricated; items of personal front are removed; telephone use is private, and performances are practiced. In the backstage region the principal can forego speaking professional lines, and step out of his role. The principal may attend parties, patronize various health spas, participate on athletic teams or in civic functions, and the like.

The backstage region is the place where the principal expects reciprocal familiarity to determine the tone of social intercourse. First names are used; cooperative decisions are made. The language backstage is informal: profanity and substandard speech, and off-color humor are used. Backstage conduct permits minor acts that may be suggestive of disrespect for certain members of the audiences.

The principal and assistant principal can change the office of the principal into a backstage region by use of descriptive or profane

¹¹⁴William James, The Principles of Psychology (New York: Dover, 1950), p. 294.

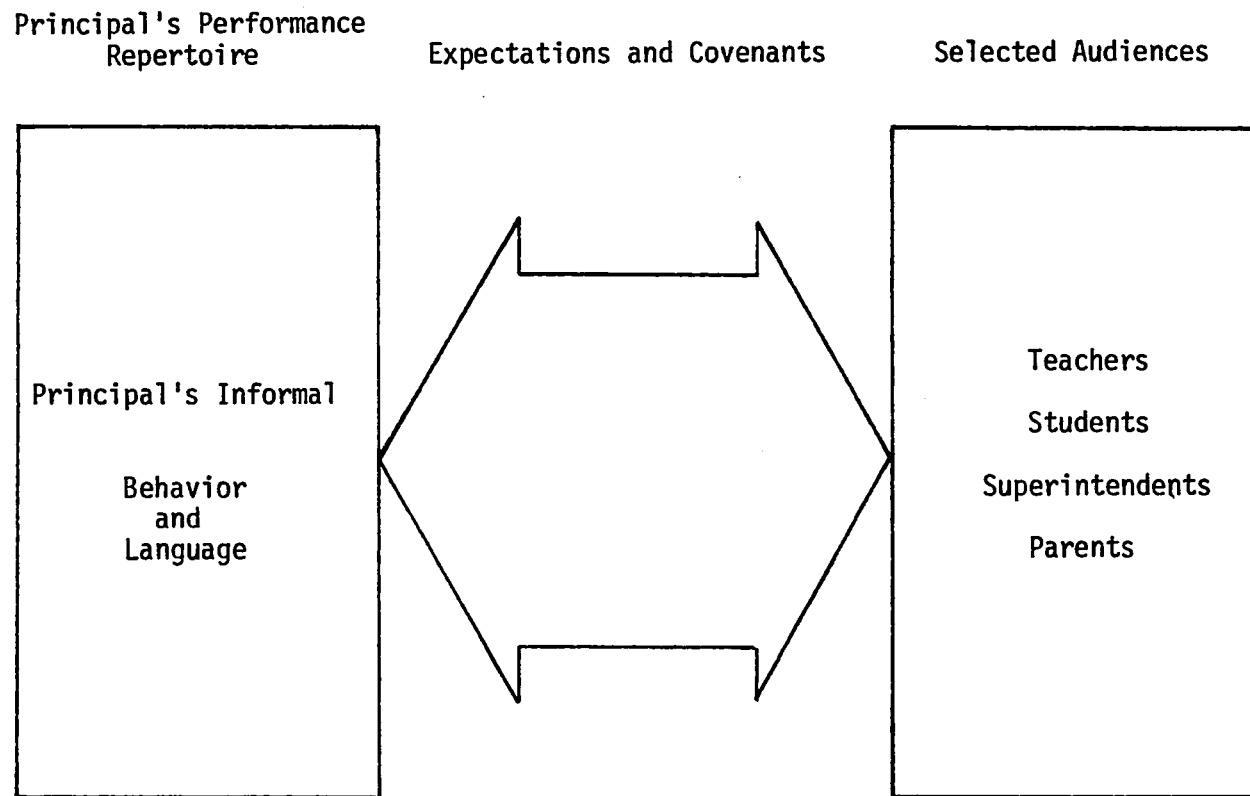


Figure 2.. The Principal's Backstage Region Performance Framework

language in the absence of the audiences. The conversation may reflect upon the performance and attitude of the teachers, students, parents, and other administrators. On their part, teachers may exhibit backstage behavior in the teachers' lounge and other places in the school when referring to parents, students, and administrators.

The backstage region serves as a physical, psychological, and emotional release for the principal. He can relax in this setting. It is also useful to the principal in that it forms other networks of individuals which create new bases for decisions.

The Principal as a Creator of Settings

The principal is aware of the sources that influence the creation of a setting, which occurs when two or more people form a new relationship to achieve certain goals. The sources and criteria necessary for creating a setting and change are illustrated in Figure 3.

Phase I. The History and Culture of the Setting

The Framework (Figure 3) stresses the history of the setting. At one extreme, the history of the setting is entrenched in the status quo realm; that is, the new setting results from an orderly state of affairs in the previous or related setting. For instance, the principal is aware that the community has always supported the school; therefore, the P.T.A.'s beginning was the result of a well-organized effort of dedicated parents.

Conflict and confusion represent the opposite extreme in the historical range of the creation of settings. This new setting results from

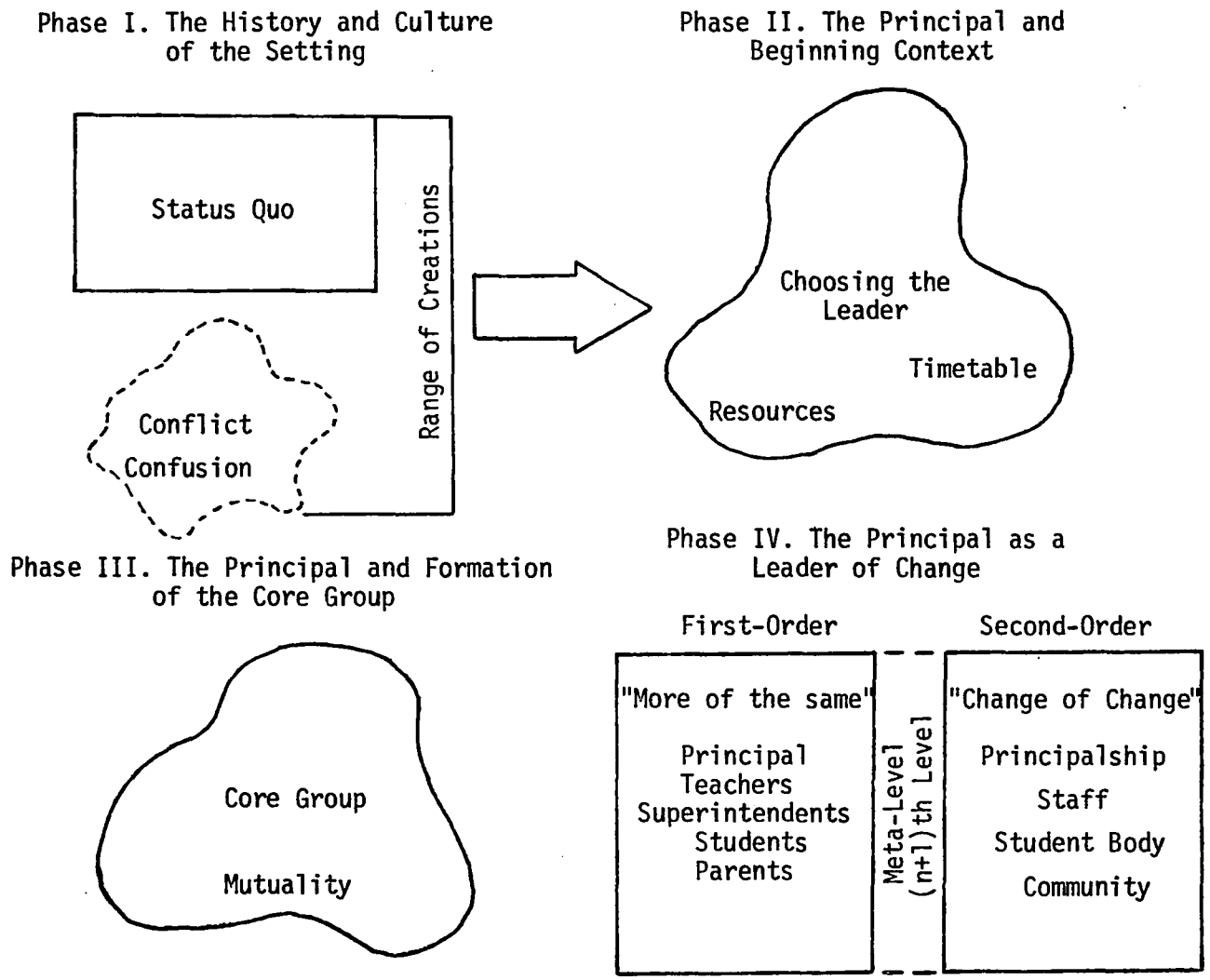


Figure 3. The Principal as a Creator of Settings

the problems associated with and in the existing setting. For instance, the Cardinal Group was created from the chaotic conditions prevalent in the Concerned Citizen Group which opposed school redistricting.

The principal's knowledge of the history of the different clubs, departments, committees, and other organizations in the school setting facilitates his effectiveness and informs him about the circumstances from which the setting was created. For example, was the committee or club the result of one person's motivation or ambitions? Was the club or committee created because of the existing culture trends or social structures, or what was in the air (Zeitgeist of Sarason)? Was the program the result of a combination of sociological and psychological trends? Knowledge of the history of a setting informs the principal of the problems, dilemmas, and also the solutions attempted and encountered by the setting. After appointment as an assistant principal, this writer read all the school's correspondence available in order to gain a historical knowledge of the setting. This information was extremely useful in responding to the assigned duties and responsibilities.

The Framework informs the principal that each new setting created is in competition with existing settings. The goal of the new setting may be to grow which means a need for resources. A conflict is created because other committees or departments may need the same resources. The successful principal recognizes that resources are limited although he may think the mission of the new setting is superior to the other settings. He can anticipate real or potential conflicts.

Phase II. The Principal and the Beginning Context

This phase of the Framework centers on choosing the principal as the leader. In most settings, formal or informal, a leader is visible. The specific set of circumstances at the time of the creation of the setting influences the leader selection process. As the leader in the school setting, the principal is appointed. The choice for principal involves more than considerations for personality, professional competence, and intellectual ability. The prospective principal's "view of things," his historical knowledge, must be examined and evaluated. A successful classroom teacher with acknowledged leadership qualities and skills may fail as a school principal, if placed in the wrong situation or location.

School leaders, public officials, and business executives realize that when leaders select leaders, from within or outside of the system or organization, a morale problem is created. For example, when classroom teachers are promoted to principals or persons from the outside are employed as principals over existing assistant principals and principals, the result is a morale problem among the principals and assistant principals.

All successful leaders recognize that resources available to the organization are limited, from finances to the number of executive positions. The appropriation of funds to meet the needs of one department or club suggests a lack of appropriations for other committees or departments, and may create a winner/loser situation. To eliminate this, the principal educates all the school audiences on the reasons for his decision. He knows that the dissemination of the resources reflects his

values and judgment. He continues to educate each audience on the distribution of a limited resource. Education may redefine the problem for the audience which may cause a different reaction. A parent may notify the principal because her child was not selected for a given class, program or athletic team; a teacher may complain of not receiving a special position. In each instance, the principal educates the audience as to why that decision was made.

The timetable is a factor in the Framework and it is the structuring of goals that range from the immediate to the distant future by the principal and the audiences in the school setting. He is aware that a definite timetable influences the beginning context because the setting cannot develop in a vacuum. Therefore, the principal must establish and negotiate relationships with many other settings and audiences. For example, the school's accreditation by the Southern Association of Schools and Colleges depends on a rigid schedule of events; and also, in the cooperation of parents, students, teachers, administrators, the community, and other community agencies.

A second example of the principal-audience timetable relationship involves the teacher evaluation process. The principal encounters problems when other events in the school setting invalidate the time perspective; that is, the responses to the present may be invaded by factors that disrupt relationships. For instance, the evaluation process requires an extensive amount of time which leaves a small allocation of time to perform the other administrative duties.

Phase III. The Principal and Formation
of the Core Group

The combination of the criteria for the "History and Culture of the Setting" and "Principal and the Beginning Context" sets the stage for the "Principal and Formation of the Core Group." The principal's knowledge of the setting's history, problems, mistakes and solutions provide a basis for making decisions.

This Framework pictures the relationship of the principal to the core group. The principal selects persons for his particular core group to whom he delegates power and responsibility second to his. These persons may represent his "family" in the school setting. The principal selects core members to perform a particular job, utilize his knowledge, experience, and skills to achieve goals in the school setting. There is emphasis on the formal task and purposes of the setting. That is, there is a match between what needs to be accomplished and what the person can accomplish.

The formation of the core group establishes new relationships and the principal can predict that there will be problems between and among all members of the core group. The passage of time may reveal that members cannot live together, leadership styles are not congruent, and personal needs and goals clash. He must anticipate problems and develop ground rules to deal with them. For instance, he is aware that teachers may wish to leave school early or arrive late; they may wish to have parties in the classroom; and smoke a cigarette or drink coffee during class instruction.

Certain issues and problems are predictable and certain decisions must be made, and these decisions should be based on rules of governance. Rules provide a sort of road map for solving or resolving problems and conflicts. Because the rules were formulated prior to the actual problem formation, the element of surprise is diluted. Discussion of the problem in the past may also serve as a basis for forming a constitution.

Mutuality is an obvious part of the Framework. It is also obvious that schools exist for students, but what may not be obvious is that the schools also serve teachers and the community. Plans must be developed cooperatively by the principal and the audiences for their professional and personal growth. Mutuality enhances the idea and possibility of change. The total school setting must not neglect the growth necessary for all audiences.

The principal's concept of "I," "mine," and "me" must include "they," "theirs," and "ours." Audience mutuality indicates what the audiences should expect from and give to the principal, and what the principal should expect from and give to the audiences. All participants should maximize human talents and resources.

Phase IV. The Principal as a Leader of Change

First-Order Change

The successful principal can distinguish first-order change from second-order change as illustrated in Figure 3. First-order change occurs within a system or organization that itself remains unchanged. First-order change exemplifies the statement: "the more things change the more they remain the same." For example, a classroom teacher

attempted several first-order changes to modify the behavior of a problem student: changed locations within the classroom, referred to the guidance office, notified the parents, and referred to main office. The child's behavior remained unchanged.

In this Framework, first-order change and Group Theory are analogous. A group is composed of members which have one characteristic or denominator. The principals, teachers, students, and parents in a school setting may change but their relationship to the setting and the setting itself remain unchanged.

Second-Order Change

Second-order change changes the system itself. One solution for the problem child's behavior was to appoint him as the teacher's assistant. The child was assigned duties and responsibilities second to the teacher's and problems ceased. The appointment was a metalevel and a different logical type than any first-order change. Second-order change exemplifies a change of change.

Second-order change is viewed as something uncontrollable, incomprehensible, a quantum leap or jump, and possibly a sudden illumination in relation to a problem. Second-order change is unpredictable, abrupt, and illogical in terms of first-order change.¹¹⁵ Second-order change is introduced to the setting from the outside, and is not something familiar or understandable by first-order change standards.

The Theory of Logical Types and Second-Order Change are analogous. Members are the components of the totality or "collection of things"

¹¹⁵Sarason, p. 23.

which is called a class rather than a group in the Theory of Logical Types. That is to say, whatever involves all of a collection must not be one of the collection. For example, mankind is the class for all individuals, but mankind is not itself an individual. To treat one in terms of the other leads to confusion; therefore, one must not talk about the class in the language appropriate for the members. Second-order change is the next higher logical level, the $(n + 1)$ th level.

Techniques of second-order change deal with effects and not with presumed causes. A problem's solution centers on what can be done in the here and now to effect a change. As examples of this, consider the insomniac who cannot sleep without medication because attempts to force himself to sleep are unsuccessful. These changes are first-order changes--"more of the same." The insomniac is instructed to force himself to stay awake, thus meeting the criteria for second-order change. The agoraphobic fears the open spaces and isolates himself at home. His personal cure is isolation, again more of the same. The agoraphobic is instructed to visit public places and to try to actually create that same anxiety. He follows the instructions and the problem is eliminated--a second-order change.

In another example, the principal and assistant principal are discussing a problem, when a teacher interrupts the conversation. By listening to the teacher, the principals discover a solution. In each of these instances, the solutions to the problem are not of themselves a part of the problem.

Summary

The Principal's Performance Framework emphasizes the importance of the principal's defining the situation as he interacts with the audiences in the school setting. His definition of the situation and the perception by the audiences improve his effectiveness in achieving goals. The Framework asserts that the role performance of the principal can make a difference, especially in the quality of life for every person affiliated with the school setting.

The principal's autobiography in terms of professional, educational, formal, and informal experiences are essential elements in this Framework, and provides the principal with some insight and awareness of his leadership skills and power sources. The central theme is that one leadership style or source of power or authority cannot yield positive results in all situations. The circumstances of the situation determine whether the authoritative or democratic style of leadership will prevail and whether expertise or positional authority will be utilized as a power source to accomplish certain tasks. The Framework advises the principal to use discretion as he attempts to match the leadership style to the situation. The interaction between the principal and the audiences requires a sincere performance or impression on most occasions; therefore, only a small amount of time is left for cynical performances.

The Framework's expectations and covenants provide the principal and the audiences a degree of predictability from one to the other. The Framework proposes that if the principal establishes agreements or covenants with the audiences in the school setting in which most if not all members agree, his effectiveness increases.

The Framework indicates that the performance by the principal is delicate and can be shattered by minor mishaps or mistakes. Members of audiences respond with different attitudes toward the principal's performances; therefore, they examine and scrutinize each aspect of the performance. The principal eliminates or minimizes the mishaps, miscues, actions, and performances that are inconsistent with the intended impression.

The principal ensures that each audience feels a sense of uniqueness through audience segregation. This is true for the front stage region as well as the backstage region. The backstage region is a place where the principal can relax into an informal performance, role, behavior, or conduct in view of selected members of the audiences. This region serves as a psychological, physical, and emotional release for the principal.

The Framework of the Principal or Leader as a Creator of Change is divided into four Phases: The History and Culture of the Setting; The Principal and the Beginning Context; The Principal and Formation of the Core Group; and The Principal as a Leader of Change. The History and Culture of the Setting sensitizes the principal to the conflicts, dynamics, problems, and solutions encountered at its creation. The Principal and the Beginning Context looks at choosing the leader for intelligence, professional competence, and knowledge of the setting. The principal is well aware of the timetable and the reality of limited resources.

Principals select core group members, their family, to perform the formal task of the setting, thus establishing new relationships. The certainty is that problems will develop between the members and the

principal. The principal anticipates problems and conflicts within the core group and establishes rules of governance to address concerns. Mutuality stipulates that the principal and the audiences share in the total growth of the setting. The principal institutes measures to facilitate the personal and professional growth of all persons in the school setting, including himself.

The Framework differentiates between first-order and second-order change. First-order change exemplifies "more of the same" as compared to second-order change which is a "change of change." Reframing the problem is necessary for second-order change which is a logical level or metalevel--(n + 1)th level--different from first order change. For example, a classroom teacher may identify a discipline problem child in her classroom as a student, a requirement of first-order change. Reframing requires a different conceptual viewpoint by the teacher in that the problem child or student may now be observed as a member of society, of the student body, or of the human race.

CHAPTER IV
GUIDELINES FOR THE PRINCIPAL'S PERFORMANCE

In Chapter II, the writings of Goffman, of Sarason, and of Watzlawick, Weakland, and Fisch were reviewed. A framework for describing principals' performances was set forth in Chapter III. In the present chapter, the ideas from Chapters II and III will be extended in the form of guidelines for the principal's performances.

Guideline 1: The Principal and the School Audiences Have Legitimate and Mutual Expectations

The principal is required by laws, statutes, and board policies to perform certain roles. He is charged with responsibility not only for the students' education, health, and welfare, but also for the teachers and staff under his supervision. Furthermore, he is expected to create an effective relationship with the community and the staff of the superintendent.

The principal views each audience as unique; he forms a different covenant with each which establishes mutual expectations. Such covenants between principal and audiences create a degree of predictability in their associations. For example, classroom teachers expect the principal to assist and support them in any manner to modify or correct the behavior of an undisciplined child. In relation to that child, the principal expects the teacher in the classroom to notify the parents or guardians, to document the child's behavior, and to notify the guidance counselors.

Members of the superintendent's staff expect the principal to solve most school-related problems at the school level, rather than forward them to the central office. On his part, for example, when he requests a long-term suspension from the superintendent, the principal expects and should be able to predict that the request will be granted. Because of the superintendent's covenant with the principal, it is assumed that all measures to modify the undisciplined child's behavior such as in-school suspension, detention hall, testing, and parent notification have been exhausted prior to submitting the request.

The parents' covenant with the principal is to support the activities of the school. When the principal agrees to schedule a Saturday for "Fun Day" activities to raise funds for the P.T.A., he agrees to elicit the services of the teachers, publicize the event, and assist where needed. The parents agree to organize the activities, to set up and run the events, and clean the school premises afterwards.

The principal's awareness of all these expectations and covenants can eliminate confusion, chaos, and conflicts. The principal must anticipate problem areas early and develop working ideas that address these problems. All audiences in the school setting recognize that schools are primarily for students. However, mutuality mandates that the principal plan and prepare for the growth and development of teachers, the community, and the staff of the superintendent, as well as the students. The principal applies different techniques and strategies to address their respective problems. For example, the teaching staff and the community may wish to become computer literate; the topic of assertive

discipline may pose an interest; aerobic dancing and exercises are possible interest areas. Once the areas of interest are identified, the principal investigates possibilities and plans to make these interests available to the community and teachers after school hours.

In North Carolina, the proposed Quality Assurance Program for prospective teachers gives the principal the opportunity to encourage teachers to return to graduate school to receive advanced degrees. Moreover, he encourages teachers to attend other courses, classes, seminars, and workshops that will improve personal and professional skills.

When mutuality functions between audiences and principal and among the audiences, respect and courtesy characterize their exchanges. Teachers and students educate each other; the principal and the parents educate each other. The principal recognizes that when one is teaching, he is also learning.

Guideline 2. Sincere Performances by the Principal When Interacting with the Audiences Increase his Effectiveness in Achieving Goals and Objectives

The principal must believe in the impression created by his performance. Even though audiences are aware that the principal is interested in their problems, they examine his performances for miscues or mistakes; however, sincere performances minimize such errors. For example, when a classroom teacher asked a principal to step inside the classroom and requested confidentiality on a sensitive custodial issue, a sincere performance was required. Because the teacher believed in the past sincere

performances by the principal, a basis for confidentiality was created on this occasion.

In another instance, a board of education member was concerned about the racial slurs that were spray-painted on the outside of the school building on two consecutive weekends, and notified the assistant principal. Both principal and board member perceived each other's performance in this situation as sincere. Concerned parents in the community immediately inquired as to the truth and actions contemplated by the school administration in relation to these incidents. The superintendent notified the principal and requested information on the racial slur incidents. Together they discussed the issue and together they utilized corrective measures. The principal's performance was equally sincere towards the school and the community.

Through his performance, the effective principal creates an impression of sincerity which must be sustained when he interacts with the audiences of the school. The audiences will examine any performance to validate its sincerity.

Guideline 3: The Principal Must Anticipate Problems Between Core Group Members and Establish Rules of Governance Accordingly

As the leader in the school setting the principal selects teachers and parents to form the core group. In cooperation with this group and the audiences, he defines the performances and responsibilities of the members. He anticipates problem areas between the core group members and develops rules of governance to address, reduce, or eliminate conflicts.

An example may be taken from the personal experience of the writer who was appointed assistant principal against the wishes of the principal. His tenure as an assistant principal began with daily after-school visits to the school and the principal's office. He was interested in the principal's educational philosophy, leadership style, and management techniques. After many discussions, the assistant principal formed a mental profile of the principal, which indicated that the principal respected talent, intelligence, ability, and ambition. He and the principal made verbal and written agreements in relation to managing problems. His adherence to the rules and governances resulted in a dramatic increase in his responsibilities.

In a second example from the writer's experience, an assistant principal believed that the staff needed a photocopying machine. The principal did not think that the cost of the machine and the maintenance contract were worth the investment to the teachers. The assistant principal discussed the issue in private because the verbal or unwritten rule of governance stated that disagreements would be discussed privately. Disagreements may occur between two principals in private spaces, but they are united when performing before the audiences. This agreement permits the assistant principal to educate the audiences on the reasons for the decision.

In another situation, the assistant principal expressed to the principal the need for a formal functional school volunteer organization. The principal informed the assistant principal of his reasons for not organizing a school volunteer program. His rationale was based on

personal reasons. The assistant principal disagreed with the principal's rationale in private, but supported the principal's decision in public, again attempting to educate the community on the reasons.

To address the issue of parents' visits to the classroom, the board of education designed a visitors' policy. To address the issue of teachers' requests to leave the campus early, the assistant principal and the principal together designed a school rule that states, "teachers away from the school's campus more than fifty-five minutes are required to take one day or one-half day of personal or sick leave."

The point is that certain issues are predictable; certain decisions must be made, and they should be based on rules of governance. The early formation of rules between the principal and core group members helps to reduce or eliminate conflicts and problems.

Guideline 4: The Principal is Aware that the Best Style of Leadership is Predicated on the Circumstances of the Situation

The principal's performance repertoire contains many roles, identities, and leadership styles. The success of the principal depends on his ability to match the style of leadership with the situation. For illustration, one school employed three secretaries, each of whom required different styles of leadership and power sources. The first secretary averred that although she was employed as a level-three secretary, she was performing all the typing duties assigned to a level-two secretary who had a higher salary. The principal combined the sources of power, succorance, and position to apply to the situation. He educated the level-two secretary as to her job description, which included typing

although she was not a typist. Moreover, with a little coaching and counseling from the principal, the level-two secretary agreed to change positions with the level-three secretary.

In a second illustration, a parent whose child was receiving medical treatment for cancer had complained about the number of questions posed by the third secretary when an early dismissal was requested. In this situation, the assistant principal utilizing the power sources of charisma and succorance, discussed the situation with the secretary. She, being informed about the medical background of the child and consequent stress on the parents, understood the situation and agreed to be more diplomatic.

In a third illustration, this secretary informed the assistant principal that the other two secretaries were on break at the same time, and the main office was unattended by an adult. By combining charisma, succorance, and position sources of power, he solved his problem by staggering the breaks to all the secretaries' satisfaction. In each case, the assistant principal was able to sustain a harmonious relationship among the office personnel.

Other situations in which a principal could use succorance as a source of power might include counseling and coaching a teacher after a difficult parent conference, counseling a teacher in relation to his performance in the classroom, counseling the basketball coach who is ready to resign after a losing season, counseling the parents of an undisciplined child to seek professional help, encouraging teachers to pursue advanced degrees, and many others.

The principal's expertise is derived from his educational and professional achievement. Teachers, parents, students, and administrators can speak with respect as they discuss his accomplishments. In other words, the audiences hold a base of confidence in the principal as an administrator. They consult with and seek advice from him relating to topics even outside the domain of education.

The positional authority of the principal must be used with discretion. This authority is appropriately asserted with habitually late teachers, insubordinate teachers, teachers who constantly fail to meet deadlines, and teachers' use of inappropriate speech in the classroom. The principal may apply positional authority when interacting with habitually disruptive students or with parents who view his role as strictly administrative and refuse to follow prescribed procedures. The school administrator recognizes that constant use or overuse of positional authority limits his leadership effectiveness.

Guideline 5: The Principal Prepares and Arranges His Activities, Performances, and Roles to Influence Significant Others

To a principal, significant others can be equated with the respective school audiences. The principal may inform significant others of his educational, professional, and personal achievements because they were and are vital to his advancement. As significant others, the superintendents are usually aware of the goals of the principals in their administration. For example, the writer as assistant principal shared the following information with two of the four assistant superintendents:

(a) his tenure as an assistant principal for four-and-one-half years was

filled with rich and rewarding experiences; (b) he earned the Sixth-Year or Advanced Degree while in the assistant principalship; (c) he is soon to complete an earned doctorate in Educational Administration; and (d) he attended many workshops and seminars sponsored by the North Carolina Principals' Institute. The assistant superintendents have given the writer positive reinforcements in relation to advancement opportunities.

To a principal, teachers are also significant others. The principal attends many evaluation seminars and workshops to gain additional competence and confidence in the teacher evaluation process. Recognizing that confidence creates confidence, he educates the teaching staff on the criteria. He familiarizes the teachers with the process and thus eliminates the fear of evaluations. He discusses the evaluation procedure with each teacher and entertains their questions. Only after many classroom visits and conferences is the appraisal instrument marked. With the principal's preparation, procedure, and expertise, there are a limited number of disagreements, and the teaching staff has received an education on the evaluation process.

Parents are also significant others in relation to a principal. If he is confident and competent as a school administrator and is so viewed by the community, parents inform him of concerns and problems. Their expectation is that he will be able to solve, resolve, or eliminate the problems. The principal expects and needs the support of the parents and community.

Students are significant others because they are valuable as public relations persons. A school which enrolls approximately 1100 students has

potentially 1100 ambassadors or public relations persons. The principal sets the tone or climate for the total school and the students must feel that the staff is interested in them as persons. By talking, listening, and assisting students whenever possible, the principal can persuade students of their worth as persons. The students can and will reward the principal because of his special role performance.

Guideline 6: The Principal is Aware that in Certain Situations he Must Control the Conduct of his Audiences, Especially Their Responsive Treatment of him

The principal is in a setting where everyone may, at one time or another, wish to control someone or something else. The stronger student wants to control the weaker student by means of threats, assaults, harassment, intimidation, or other tactics. The teacher attempts to control problem students in the classroom by methods such as varying instructional strategies or methods, notifying parents, changing the location of the student's seat, sending the student to the office, placing the student outside of the room, or notifying the guidance counselors.

The assistant principal attempts to control the problem student by warnings of in-school suspension, out-of-school suspension, detention hall, parent notification, and referrals to guidance in order that the teacher may gain control of the student. Parents attempt to control the actions and performances of the principal by threats of lawsuits, physical harm, notification of board members and superintendents, and a host of others. The superintendents make use of documented evidence to control principals.

The control of the audiences by the principal is situational. This type of role performance is necessary to modify the behavior of a particular person or audience. Because of the human element in any setting, all members do not perform at satisfactory levels at all times. The principal must recognize the problem and institute corrective measures.

Guideline 7: The Principal's Interaction with Each Audience is Unique

The principal interacts with one or all of the school audiences daily, each of which senses a special relationship with the principal. He is aware that with the parent audience, each principal/parent interaction is special: the principal offers special assistance here; he makes special allowances or concessions there; the principal is not going by the book in this case; he is spending extra time with that case; the principal considers special circumstances and will not institute the same penalties, and so forth. The principal is aware of the individuality presented by each association and his responsibility is to sustain that individuality when possible.

Teachers also desire a special and unique relationship with the principal. Teachers want special privileges, certain classes, to attend certain meetings, special or preferential treatment, certain room locations, certain schedules, and so forth. Students, in the same vein as teachers and parents, strive for a unique relationship with the principal which may suggest privileges and concessions.

The performance by the principal in front of an audience is significant to that audience. The principal cannot possibly grant all of the desires of each audience but he can define each situation in such a

manner that a special relationship is maintained even while concessions and privileges are disallowed. It is important for the principal to ensure the separation of the audiences to sustain the uniqueness feature.

Guideline 8: The Backstage Region Serves as a Physical, Psychological, and Emotional Release for the Principal when Interacting with Selected Audiences

The backstage region allows the principal to relax in an informal setting. In this region the principal's role performance before this select group of members may contradict his performances as a professional educator. This region may be the public library where the principal's interest is in reading or research; a lounge or bar where the principal may have a drink and socialize with noneducators; on a basketball or tennis court, or in a spa or on the golf course for exercise and recreation. He interacts with select members of audiences who may or may not be aware of his professional performances.

According to Goffman, an individual's backstage region and the audience must also remain separate. It is sometimes difficult to perform in front of an audience consisting of backstage and front stage members. The principal's involvement in a civic function is capable of supporting backstage and front stage region members simultaneously, but his participation in a student-faculty baseball game which combines both regions' audiences may be awkward.

The principal expends a considerable amount of energy in his professional role. To attempt both front stage and backstage region performances together for a sustained period of time may be costly. The psychological requirements for the role of the principal are different

from the psychological requirements for a jogger or cyclist. The regions' separation allows the principal to exert himself or perform in either one region or the other; separately, he gives a better performance.

Guideline 9: Principals Confront and Educate Audiences on the Reality of Limited Resources

Principals recognize the scarcity of resources in the educational setting. Boards of education seldom appropriate enough monies to meet the request of all school principals in the district. Those monies which are appropriated to the school are distributed in relation to the principal's values and priorities. The principal's disbursement of funds to the science department, for example, may amount to more than the funds allocated to the English department. This disbursement may indicate that the science needs were greater this school year than the English department needs.

The principal must educate the audiences on the reasons for the allocations. For example, the principal explains to the physical education department that their allocation is less this year because of required equipment that must be purchased for the science and speech laboratories. The education of the audiences on limited resources prevents an attitude of losers and winners. Education gives the audiences a reasonable perspective on the distribution of resources.

Resources in the school setting may vary from the location of a classroom to the nomination of personnel to special positions. Sometimes, a principal's decisions are forced by limiting circumstances. Teacher

positions for the academically gifted students, for example, are limited, as is the number of teachers certified to teach academically gifted students. Or, a principal may explain to the P.T.A. Executive Board and Advisory Board that funds will not be expended for a refrigerator and microwave oven for the teachers' lounge. He listens to the request made from each audience and educates each on the reason for granting or denying the request. The important factor is the education of the audiences.

Guideline 10: Principals Function on Timetables that Range from the Immediate to the Distant Future

A timetable is a vital element in the daily and yearly operations of a school and its principal. The timetable may be self-imposed or imposed on the principal by the audiences. For example, the principal and the superintendent's staff long-range plans, their future timetable, may include an increase in the capital outlay expenditures for a new vocational building or gymnasium, the redrawing of school attendance zones, or an increase in curriculum offerings. Short-range goals, the immediate timetable, may include the organization of a formal school volunteer association, the filling of a science teacher vacancy, and the purchase of athletic equipment.

Events in the present such as parent-teacher conflicts, teacher evaluations, board member interference, and administrative meetings may invalidate the timetable of the principal. Because these events are interruptions that must be addressed here and now, they impinge on the future timetable.

On occasion, when certain portions of the timetable are fixed and inflexible the principal must adhere strictly to a schedule. In such instances, the principal's actions or performances may be viewed as stubborn or authoritarian. Again, it is the responsibility of the principal to educate the audience on the reasons for his decision and thus increase acceptance of his actions.

Guideline 11: A Principal's Knowledge of First-Order and Second-Order Change Improves his Effectiveness in Relation to the Audiences

Principals may be aware of first-order change: that the more things change the more they remain the same. To illustrate, the school district constructs a new open school and traditionally trained teachers are assigned there; the principal changes the teaching assignments for two teachers to improve the quality of classroom instruction; and the principal and the athletic director procure activity buses from different schools for school-related activities. These instances are first-order changes; that is, there is a change but not a lasting change. The principal applies more of the same solutions to achieve any degree of change, thus, evolving into a circle of events. To further illustrate, parents inform the principal of the same problems with the same teacher year after year. The principal informs the teacher of the parents' complaint but still the problems persist. Students are referred to the principal's office for discipline problems and they are counseled, coached, and persuaded to improve. Problems arise when these methods and techniques do not produce positive results.

Whereas first-order change is more of the same, as described earlier, second-order change is a change of change. First-order change alludes to students, teachers, principals, parents and the staff of the superintendent as individual members in the school setting. Second-order change reframes the problem or situation in that the principal is the principalship, students compose the student body, and teachers and superintendents make up the staff.

Second-order change is facilitated in the open school situation by possibly looking outside present staff members for persons qualified and dedicated to the open school concept. For second-order change to materialize in the change of teaching assignment, the ineffective teacher may be reassigned to another school. The principal and the bus transportation supervisor at the high school agree to furnish student drivers to procure activity buses to eliminate transportation problems. In each instance, second-order change was not itself a part of the problem.

Second-order change in relation to the problem teacher may be accomplished by the teacher's resignation, retraining, or reassignment. An in-school or out-of-school suspension may facilitate second-order change with the problem student.

Second-order change emphasizes that the solution to a problem is not itself a part of the problem. The solution is meta, $(n + 1)$ th, to first-order change. First- and second-order change are compatible and complementary in that second-order change is not always necessary or required.

Guideline 12: The Principal's Knowledge of the History and Culture of The School's Setting with Audiences Improves his Effectiveness

The writer was appointed as an assistant principal at a school with the following characteristics: high socioeconomic level, professional and college-educated parents, eight percent minority enrollment, and strong community support. The writer examined the school's correspondence related to discipline measures, financial accounting procedures, club and committee functions and ventures, and administrator-teacher relationships. This historical knowledge introduced the writer to the array of problems, solutions, and relationships that existed prior to his arrival, and created a foundation for making decisions in relation to his assigned duties and responsibilities.

The acquisition of this cultural and historical knowledge was significant as it related to the cheerleaders. The cheerleading squad received strong support from the community and could be viewed as the "who's who" in the community. Parents of cheerleaders were concerned about the penalties imposed on cheerleaders who received unsatisfactory conduct marks according to their own constitution. The school's history was filled with pride and the cheerleaders were actually ambassadors for the school. Knowledge of the historical context served as the foundation for the principal's decision to abide by the cheerleaders' constitution.

Guideline 13: The Principal's Relation to the Audiences of the School is his Most Important Resource

The principal knows that the audiences in the school setting have special characteristics. Some members of the audiences wish the principal good will and prosperity, while others wish turmoil and disaster.

The audiences examine each role performance by the principal for flaws, mistakes, errors, inequalities, miscues, or any discrepancy that is observable. Because the principal is aware of these characteristics, he must attempt to redirect or channel these negative energies of the audiences into a positive direction.

The creation of a favorable attitude from the audiences towards the principal requires patience and education. The principal must attempt to make each audience welcome and comfortable in the school setting. The principal should provide opportunities for the skeptical audience to know him and for him to explain his decisions and actions. On his part the principal must concentrate his efforts on learning their view of things. Mutual understanding will generate support.

Summary

In this chapter, guidelines have been presented that can improve the effectiveness of the principal in relation to the audiences in the school setting. The guidelines serve as benchmarks or indicators in directing the principal and the audiences toward the achievement of school goals. The audiences and the principal must establish covenants or agreements in order to create predictability in certain situations, thus reducing or eliminating confusion.

The principal recognizes that mutuality is essential in the educational setting. He must plan for the personal and professional growth of each audience's needs. He, too, grows and develops in the same manner as the audiences. Each audience wants to believe that the principal is

interested in its problem; therefore, the principal must believe and sustain the sincere impression created by his performance.

The core group and principal are certain to develop problems because certain decisions must be made. He must anticipate problems and establish rules of governance to address them. He is aware that the sources of power--position, expertise, succorance, and charisma--must match the situation. The successful principal utilizes positional authority sparingly. He organizes his performances and activities to influence significant others, which may include superintendents, teachers, parents, and students. The principal's positive or negative influence on significant others may affect his career goals.

In certain situations, the principal must control the conduct of members in the audience. When persons do not function at a satisfactory level, he must initiate corrective measures to modify that conduct. Members of the audience sense a uniqueness in their relationship with the principal; therefore, he must ensure the separateness of his interaction with each audience. Consequently, in the backstage region, he relaxes into informal performances and intruders are not welcomed.

The historical knowledge of the school setting introduces the principal to the past array of problems, solutions and relationships. This knowledge serves as a basis for making decisions in relation to the school setting. The school is operationalized by timetables which range from the immediate to the distant future. The principal is aware that events in the present may invalidate the timetable, or at least require its rearrangement.

The school's audiences are the most important resources to the principal. He must attempt to gain and maintain the support of the positive audience as well as the negative audiences. He must channel and direct the audience toward the stated goals. He must educate all audiences in the setting so that they may gain a new perspective of the total school.

First-order change and second-order change are complementary. In some instances, first-order change is sufficient, and for others, second-order change is required. The problem must be reframed, and the solution cannot be a part of the problem for second-order change.

CHAPTER V
SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

Summary

This study examined the principal's performance as a leader in the school setting. Since his leadership determines the success or failure of the school, the principal must guide, direct, and influence the audiences of the school toward the achievement of stated goals and objectives. The audiences are teachers, students, parents or community, and the staff of the superintendent.

The purpose of this study was to investigate the performance of the principal as he interacts with the audiences. Because each audience is significant to the principal, he is aware of the expectations held by each one. Effective performances usually occur when the principal interacts with audiences that have the same expectations as the principal.

Four assumptions were made in this study: (1) when a principal appears before an audience, his actions influence the definition of the situation; (2) regardless of the objective the principal has in mind and the motive for such an objective, it is in his best interest to control the conduct of his audiences; (3) events may occur within the interaction that contradict, or otherwise throw doubt upon the principal's definition of the situation; and (4) the working consensus established in one audience interaction is different in context from that in a different interaction.

This study is significant in that it can increase the principal's effectiveness in relation to the audiences as he becomes aware of the circumstances, both positive and negative, involved in the creation of settings and of change. Armed with this information and knowledge, he is a more effective leader.

Chapter II presented a review of related literature that focused on three writings: Erving Goffman's The Presentation of Self in Everyday Life, Seymour B. Sarason's The Creation of Settings and the Future Societies, and Change Principles of Problem Formation and Problem Resolution by Watzlawick, Weakland, and Fisch.

Goffman discussed belief in the part one is playing in terms of cynical and sincere performances. He also discussed front as the expressive equipment employed during a performance, and personal front as items that identify with the performer himself. Manner and appearance, as viewed by him, should be consistent.

He suggested that individuals invest their egos primarily in certain routines in relation to dramatic realization. For example, a professional man may be more concerned with an effective showing as it relates to his occupation than he is as it relates to his domestic life. Idealization assumes that if an individual is to give expression to ideal standards, then he must conceal action that is inconsistent with those standards. Also, it is likely that certain standards are sustained in public by the private sacrifice of others.

Maintenance of expressive control stressed that one must be prepared to see that the impression created by a performance is a fragile thing that can be shattered by minor mistakes, errors, and flaws. In addition,

misrepresentation at any moment in one's performance may cause an event that contradicts what he had avowed.

Reality and contrivance emphasized that some performances are carried off successfully with complete dishonesty, and others with complete honesty, whereas neither is essential or dramaturgically advisable. Goffman discussed front stage and backstage regions and region behavior. Accentuated facts appear in the front region while suppressed facts materialize in the back. There is an informal language and behavior present in the backstage region as opposed to formal language in the front stage region. In certain situations, one region may serve as both regions.

Seymour Sarason discussed "Before the Beginning," "The Leader and the Beginning Context," and "The Formation of the Core Group" as components in The Creation of Settings and Future Societies. The "Before the Beginning" phase contains organizational dynamics that work against rather than for the new setting because its history is marked by real or potential conflict. Thus, one has to know the history of the setting so that the dilemmas, mistakes, and solutions may be utilized.

"The Leader and the Beginning Context" is characterized by the timetable and choosing the leader. The latter involves more than considerations of personality, professional competence, or intellectual ability. Creators of settings always have a timetable and they may or may not deviate from it. Adherence to this time perspective may appear to the audiences as authoritarian leadership.

"The Formation of the Core Group" was pictured as the leader's selection of persons who constitute his "family." These persons have

responsibilities and powers second to his. The certainty is that problems will develop between the core group members and the leader; therefore, rules of governance must also be developed to address these problems. The scarcity of resources is a legitimate problem which requires the cooperation of the leader and the audiences to resolve.

The authors Watzlawick, Weakland, and Fisch addressed "Change." They discussed two types of change: first-order and second-order. First-order change occurs within a system and leaves the system unchanged. This represents the statement, "the more things change the more they remain the same." For example, a teacher applies different strategies to modify the behavior of a problem child, but is unsuccessful. Second-order change is a change of change. It changes the system and is introduced from the outside, and entails a shift, a jump, a discontinuity or transformation. It usually appears weird, unexpected, and uncommonsensical; there is a puzzling element in this process. Reframing is an integral element in second-order change strategies.

Frameworks for describing the performances of principals were created in Chapter III utilizing the theories and assumptions of Goffman, of Sarason, and of Watzlawick, Weakland, and Fisch. The Principal's Performance Framework depicts the principal's relationship with each school audience. The Framework contains four sections: The Principal's Performance Repertoire, Expectations and Covenants, School Audiences, and Audience Segregation. The principal's repertoire is composed of different identities, personal fronts, power sources, leadership styles, and performances.

Identities indicate that the principal must examine his biography--personal, professional and educational experiences--in order to understand himself, direct his audiences, and achieve goals. Personal front discusses the characteristics he brings to the school setting. Certain characteristics such as race or sex are fixed and do not vary for the principal; however, other qualities are transitory and may vary from moment to moment as in facial expressions. Personal front consists of appearance and manner and it is important for him to sustain a consistency between the two.

This Framework depicts power sources as situational; that is, the source of power is determined by the circumstances of the situation. Positional authority is associated with the respective levels of an organization in which superordinates give orders to subordinates. Expertise is another source based on professional and educational experiences. Succorance such as coaching or counseling, as a source of power, gives emotional support and encouragement to the audiences. Finally, charisma or personal magnetism can be an effective source of power. Because the leadership style is situational, leadership ranges from the authoritative to the democratic styles.

Performances are observed as sincere or cynical. The successful principal's performance must reflect a sincerity in most situations, although there are occasions when cynical performances are appropriate. The principal's front is the part of the performance that defines the situation for the audience and is employed at the time of interaction.

The Framework's application of expectations and covenants indicates that they flow in two directions; from the audiences to the principal

and from the principal to the audiences. They can be any of four types: those of low intensity and brief duration, of high intensity and brief duration, of low intensity and long duration, and of high intensity and long duration. Indeed, covenants add predictability to the relationship.

In addition to the school audiences, they may feel that the performance of the principal is true or false, genuine or spurious, valid or phony. Audiences give special attention to features of his performance that he cannot readily manipulate. Emphasis is placed on performances discovered telling barefaced lies; thus they lose or forfeit credibility. In addition, audience segregation is applied by the principal to ensure that his performance is observed by the appropriate audience.

The Principal's Backstage Region Performance Framework illustrates the informal relationship of the principal and selected members of audiences. It is a place where he expects reciprocal familiarity to determine the tone of social intercourse. Also, this region permits minor acts that may be suggestive of disrespect for certain members of the audience.

Sarason's work formed the basis for The Principal as a Creator of Settings Framework. This Framework includes four phases: The History and Culture of the Setting, The Principal and Beginning Context, The Principal and Formation of the Core Group, and The Principal as a Leader of Change. The history of a new setting may range from a well-organized, status quo setting to one that is filled with conflict and confusion. This historical knowledge informs the principal of the problems and solutions encountered by that setting; thus he can anticipate real or potential conflicts.

Phase II of the Framework, Beginning Context, emphasized Choosing the Leader, Resources, and The Timetable. Interesting enough, choosing a leader always creates a temporary morale problem whether selection is from within or without the organization. In relation to limited resources, the principal must educate the audiences on limited resources to increase the acceptance level of those decisions. The timetable is the structuring of goals that range from the immediate to the distant future by the principal and the audiences.

The third phase, The Principal and Formation of the Core Group, pictures the relationship of one to the other. Within this relationship, the certainty is that problems will develop and must be addressed. Audience mutuality plays a significant part in the elimination of certain problems.

The Principal as a Leader of Change, Phase IV, emphasized first- and second-order change. The former relates to a change within a difference, and the latter to lasting change or change of the system. This Framework emphasized the importance of the principal's definition of the situation as he interacts with the audiences.

Conclusions

The writings of Goffman, of Sarason, and of Watzlawick, Weakland, and Fisch were used to create a Framework that pictured the principal's relationship to the school audiences. The Framework yielded guidelines or benchmarks that can increase his effectiveness in the school setting. Therefore, the guidelines are presented once more:

Guideline 1: The principal and the school audiences have legitimate and mutual expectations. Because each audience's relationship with him is special, he forms a different covenant with each audience which establishes mutual expectations. These expectations provide provisions for the personal and professional growth of members in the audiences.

Guideline 2: Sincere performances by the principal when interacting with the audiences increase his effectiveness in achieving goals and objectives. He must believe in the impression created by his performance because each audience scrutinizes the performance to validate its sincerity.

Guideline 3: The principal must anticipate problems between core group members and establish rules of governance, accordingly. He is aware that certain issues are predictable; certain decisions must be made, and they should be based on rules of governance to eliminate or reduce conflicts and problems.

Guideline 4: The principal is aware that the best style of leadership is predicated on the circumstances of the situation. He may use positional authority, charisma, expertise, and succorance separately or in combination to achieve the desired goals.

Guideline 5: The principal prepares and arranges his activities, performances, and roles to influence significant others. As a principal, significant others are teachers, parents or community, students, and the staff of the superintendent.

Guideline 6: The principal is aware that in certain situations he must control the conduct of his audiences, especially their responsive

treatment of him. This type of control is situational and may be used as corrective measures to modify behavior of a particular person or audience.

Guideline 7: The principal's interaction with each audience is unique. He must define each situation in such a manner that a special relationship is maintained although concessions and privileges are disallowed.

Guideline 8: The backstage region serves as a physical, psychological, and emotional release for the principal when interacting with selected audiences. This region allows him to relax in an informal setting where his performance may contradict his role as a professional educator.

Guideline 9: Principals confront and educate audiences on the reality of limited resources. This education provides the audiences a reasonable perspective on the distribution of resources.

Guideline 10: Principals function on timetables that range from the immediate to the distant future. They may be self-imposed or imposed on the principal by the audiences, and interruptions will occur that will impinge on the timetable.

Guideline 11: A principal's knowledge of first-order and second-order change improves his effectiveness in relation to the audiences. These two changes are compatible and complementary in that the latter is not always necessary.

Guideline 12: The principal's knowledge of the history and culture of the school's setting with audiences improves his effectiveness. He can use this knowledge as a foundation for making decisions.

Guideline 13: The principal's relation to the audiences of the school is his most important resource. He must attempt to make each audience comfortable and welcome by providing opportunities for them to know him.

The application of these guidelines can cultivate effective relationships between the principal and the audiences. The success of these relationships determines the quality of life for each person within that particular school setting.

Recommendations

The principal's performance in relation to teachers, parents or community, students, and the staff of the superintendent was central to this study. His influence on the school audiences in reaching specified goals and objectives determines his success in the total school setting.

Therefore, the situation is defined by the principal with the cooperation of the audiences in terms of roles, performances, settings and change. Because successful relationships are vital to members in the school environment, the following topics are recommended for further study:

1. Mutuality is important to the success of the relationship to the principal and the audiences of the school. Research can provide information on the formulation processes of different covenants, verbal and written agreements, and the like. From these studies, proven strategies and methods may be developed that can ensure the professional and personal growth of all members of the school publics.

The principal is aware that problems will develop between core group members and the principal. An investigation may reveal common problems that are predictable in any leadership-followership capacity. Once the problems are identified, then rules of governance can be drawn up to address these problems.

2. Sincere performances by the principal and the audiences add credibility to the interaction. Research may indicate that a self-perceived sincere performance by the actor is not the same sincere performance observed by the audience. The study may suggest elements or techniques that may be used by the principal to sustain and maintain a sincere performance for both the actor and the performer.

3. Significant others in relation to a principal in the school setting are teachers, students, parents and the superintendent's staff. Future research may indicate the extent to which these others influence the principal. It may also suggest different principal-audience relationships and the degree of influence of each audience that can be compared on the elementary and secondary levels of administration.

4. The principal's experiences compose his biography which determines his leadership style. Research into the biographies of noted successful principals may yield a common core of elements or characteristics that are analyzed and discussed in graduate courses for aspiring school administrators. This information presented in the classroom to prospective administrators can increase their effectiveness in the school setting.

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