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JONES, FRANCES FAIRCLOTH  
THE ELEMENTARY SCHOOL PRINCIPAL AS LEADER:  
AN ANALYTIC AND PROGRAMMATIC MODEL.

THE UNIVERSITY OF NORTH CAROLINA AT  
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THE ELEMENTARY SCHOOL PRINCIPAL AS LEADER  
AN ANALYTIC AND PROGRAMMATIC MODEL

by

Frances Faircloth Jones

A Dissertation Submitted to  
the Faculty of the Graduate School at  
The University of North Carolina at Greensboro  
in Partial Fulfillment  
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Approved by



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APPROVAL PAGE

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Major research and writings in the area of educational administration indicate that principals are not exercising the function of instructional and program leadership but that it is widely agreed to be their most significant obligation.

The purpose of the study was to develop an analytic and programmatic model for the principalship allowing the person occupying that position to serve as the professional leader in the areas of curriculum and instruction and to better relate to those forces that tend to compel him to serve as a managerial functionary.

Model building proceeded through three interrelated stages. The pre-genesis stage assesses the genuine need or desire for a new setting for the principalship while the genesis stage takes serious action toward covenant formations, establishment of priorities and a thorough investigation of values related to the principal and his position. The final stage actuates the desired setting with goals and objectives firmly established.

The three stages were the key components of actuating a settings model for the principalship. Each stage has exclusive environmental characteristics while also possessing attributes which commonly flow across the stage delineations. No stage in the model is nullified or ever loses its influence. The setting is never static but rather changes as environmental influences are altered. All three stages with their amebic interaction are essential for the creation of a desired setting.

Applicability of the model was demonstrated by actuating a setting through identification of eight key goals for establishing the elementary

principal as an effective instructional leader. The key goals were accompanied by proficiencies which illustrated the processes and procedures needed to accomplish the goals while administrative manifestations were added as specific assessment measures.

The writer has concluded the study by demonstrating that the model is a useful tool for school personnel other than the elementary principal in the identification and reconciliation of dilemmas of mutual concern.

## ACKNOWLEDGMENTS

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## Chapter 1

## INTRODUCTION

Although the numerous writings about the elementary school principal are at variance on many matters, there is agreement that the principalship is a critical factor in the school.<sup>1</sup> In the beginning section of this chapter the investigator will explore socio-cultural, organizational and psychological influences on the principal.

Characteristically, the elementary school principal is perceived as predominately white Anglo-Saxon, male, fortyish, former teacher, married with two to three children, member of several local civic clubs and a regular church-goer. He belongs to the middle-class, votes each election day but remains silent on such controversial issues as abortion and prayer in the schools. His salary is generally in the medium range depending on the size of his school, but his expenses extend above that range.

He finds solace in gathering with others of his kind, not to discuss pertinent features of new programs but more often to talk about ways of retiring early. They refer to unmanageable situations and share daily accounts of catastrophes that occur in their school much the same as old soldiers swap war stories, each believing that his plight is more profound and abstruse than that of his colleagues.

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<sup>1</sup>Seymour Sarason, *The Culture of the School and the Problem of Change* (Boston: Allyn and Bacon, 1971).

The principal contends that he is considered neither a member of the administrative team nor the collective bargaining ranks of teachers. Essentially he becomes the lonely man in the middle who attempts to satisfy both groups. While appeasing both ends of the bureaucratic structure, he becomes bogged down with the minutiae of handling complaints, attending committee meetings, deciding on the number of paper towels needed for the remainder of the year and writing maintenance and textbook requests.

The principal's interest and affection customarily lie with the development and implementation of a sound instructional program that is or should be existing in the school. He desires to restructure his role so that the majority of his day is spent working in classrooms with teachers and children, assessing strengths and weaknesses of each. He wishes to be with teachers individually or in small groups to appraise their growing points while helping them define and develop educational goals and methods of providing supportive learning experiences to make these goals a reality.

#### SOCIO-CULTURAL FACTORS

The number of socio-cultural factors that debilitate and enervate the principal in performing as the true instructional leader is staggering.

The school is a socializing agent that has been created in part to serve the needs and purposes of society. Societal forces come to expect the school to serve as the identifier and attacker of problems of emotional and social maladjustment, disease, malnutrition and child abuse as well as the transmitter of specialized knowledge for an industrialized society. Newer regulations mandated by laws in North Carolina and some other states

are insisting that schools provide individualized educational programs as deemed necessary by parents and professionals such as physical therapy, psychological and psychiatric services and medical services for every exceptional child. The principal of the school and the school system can be held libel should they fail to provide such services for exceptional children. Citizens tend to expect these functions as a natural part of the school's daily services without regard to the time and energy drain on the principal and other school personnel.

The school and consequently the principal is expected to satisfy the goals of the local school district. Even though the principal has set school-level goals for instruction and strategies for meeting these goals, they must not be contradictory to those wishes set by the governors of the school district. Certain constraints are mandated and expected to be brought to fruition by school officials.

Society tends to view the principal as the one to whom complaints are made by disgruntled parents and community members. Essentially he is held accountable for what goes on in the school and for the actions of the staff who works under him. The community anticipates his initiating change to meet their demands. Any leader attempting to bring about change must realize the profound nature of that change and the degree of support or antagonism it might evoke from the community.<sup>2</sup>

The school leader is at the mercy of society for funding. Appropriations of monies are controlled outside the realm of the local school.

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<sup>2</sup>Bernard Spodek, "The Pressure to Conform," National Elementary Principal, 53 (May, 1973), 17.

Lack of funds can render physical facilities limited and inflexible and prohibit the principal's ability to bring about needed changes in the educational program.

In reality, Spodek<sup>3</sup> contended that the alternatives available to the elementary school principal can be totally limited by what is or what is not acceptable to the community or to its power structure.

To understand better the socio-cultural influences that help to shape and form one's concept of the elementary principalship, it is imperative that the traditions, symbols and myths that surround this leadership position be examined.

### Traditions

Traditions are those beliefs, customs and ideas that are passed down from one generation to another. It is highly probable that traditions are fastidiously altered by the existing people of that epoch as they slowly make their way verbally or in writing from one era to the next. Traditions vary from community to community and yet some traditions are shared by most if not all communities.

Traditionally, the principal is stereotyped as a teacher and scholar. Originally he was the head teacher or principal teacher. In addition to classroom responsibilities he was held accountable for the physical maintenance of the school building as well as for directing other teachers. This tradition has implications for those presently holding principalship positions since the principal is still expected to possess a successful and varied background in academia and teaching.

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<sup>3</sup>Ibid.

The tradition that most principals are male has existed only since the year 1928. National studies clearly document the tradition of the principal being a man's domain since the late 40's. In 1928, women constituted 55 percent of all elementary school principals. In 1948 this dropped to 41 percent and by 1973 it had fallen to 19 percent.<sup>4</sup> Conditions such as desegregation, busing, increased disciplinary problems, and greater physical and emotional demands of the principal appeared to have caused superintendents to assume that the appearance of a male, authoritarian figure in the school corridor would be more conducive to order and control.

Seawell and Canady<sup>5</sup> concluded from their study on female principals that two things were apparent: 1) women perform at least as well as men in the elementary principalship 2) women are not being selected on the same basis as men to fill principalship positions. Their position emphasized the possibility of serious court challenges under the Civil Rights Act of 1965.

It remains traditional that the elementary school principal assume an active community life by supporting agencies such as the Red Cross, United Fund, church and scouting activities. He is expected to present himself and his family in much the same fashion as the local minister.

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<sup>4</sup>NEA Department of Elementary School Principals, The Elementary School Principalship in 1968, A Research Study (Washington, D.C., 1968), p. 11.

<sup>5</sup>Robert Canady and William Seawell, "Where Have All the Women Gone?", National Elementary Principal, 53 (May, 1974), 48.

### Symbols

Symbols are concrete representations for things that cannot be represented or visualized. Brubaker has written "A symbol conveys to the observer the whole set of emotions associated with the original meaning of that being symbolized."<sup>6</sup>

Just as the stethoscope is the identifying characteristic of the physician, so does a voluminous ring of keys attached to a belt seem to be the distinguishing trait of the school principal. The principal is surrounded by those symbols which automatically relay the message that he is the person in command and possesses positional authority. His office environment intimates a space of his own with his desk, his personal secretary and a telephone for his exclusive use. These symbols indicate that the school is his territory whereas the arrangement of the classroom clues outsiders to the fact that this is the teacher's territory.

The mode of dress for the principal may serve as a symbol that sets him apart from those who work in the school. The traditional shirt and tie often identify the principal as the authoritarian person whereas others are dressed more casually for the purposes of working on the floor with youngsters or refereeing a kick-ball game during physical education period.

### Myths

Myths are an attempt to explain the unexplainable.<sup>7</sup> As a general rule myths are considered to be fabricated legends or tales attempting to

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<sup>6</sup>Dale L. Brubaker, Creative Leadership in Elementary Schools (Dubuque, Iowa: Kendall/Hunt, 1976), p. 25.

<sup>7</sup>Ibid., p. 26.



explain some origin, belief or phenomena. In reality myths can contain elements of both truths and untruths depending on the situation encountered at any given time. Myths could never be classified as make-believe stories or magical tales since they are considered to be genuine and rational by those who deeply believe in and support them. There are numerous myths that surround the principal and the functions he is or is not able to perform.

The myth that schools are operated by local control has constraining influences on the actions and performance of the principal. Politicians ascribe to gaining support and thus votes by boasting of absolute local control of the schools in their area. Contrary to political verbiage, the United States has a national education program dictated from many sources. Evidence of this national control is demonstrated by published lists of mandates to which the local school must conform before federal funds are allocated. Also national testing programs, certain colleges and some graduate and professional schools are under national control.

Campbell and his colleagues pointed out this dilemma in their studies.

So long as we persist in the folklore of localism we refuse to face up to the fact that we have always had some federal policy for education, that in recent decades this policy has grown appreciably and that all evidence suggests that more national policy is inevitable. Somehow we must accept the fact that basic forces cannot be wished away, but that we have some alternatives in setting up arrangements for dealing with them.<sup>8</sup>

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<sup>8</sup>Roald Campbell, Luvern L. Cunningham and Roderick McPhee, The Organization and Control of American Schools (Columbus, Ohio: Charles E. Merrill, 1965), p. 46.

The myth exists that there are universally agreed upon role expectations for the principal. Traditionally, roles tend to fit persons into uniformly shaped boxes under the labels of principal, secretary, dentist, mother or whatever with specific clearly defined guidelines for their actions and functions. If left unchallenged, these neatly packaged roles cause equivocalness and ambiguity.

In reality there is no systematic, effective, all-encompassing job description for the leader of the school. All too often community members, the school board, the superintendent and faculty members have unclear and contradictory expectations and understanding of what principals are for, what they should be and what functions they should perform.

Inaccurate stereotyped roles can foster unrealistic expectations for the principal. He may lose his self-confidence and become incapable of decision-making if he is cognizant of not fulfilling the duties that others view as constituting his role. Teachers and students may fail to show him respect and support simply because he is not in harmony with a preconceived role they have set for him. Often the principal himself is unsure what role he is expected to play in order to be effective in his position. Even though he may be required to alter his role as he works with various groups, generally the groups do not exist independent of others.

Figure 1 presents a pattern of those groups that are role definers and image holders for the principal.

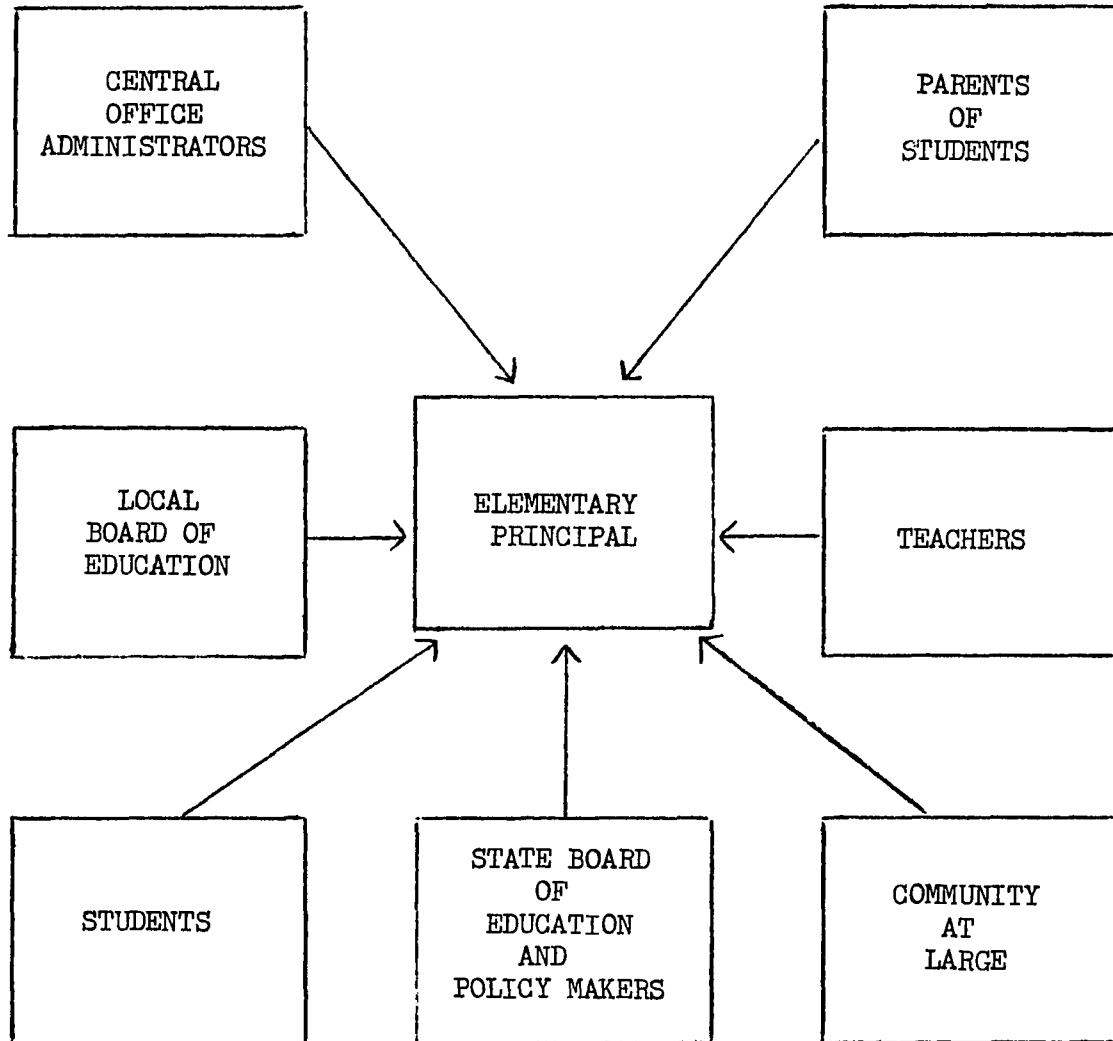


Figure 1

## Role Definers of the Principal

Central office administrators (superintendent, associate superintendent and supervisors) expect the principal to be certain that teachers are performing effective teaching and learning activities, keeping parents relatively satisfied and maintaining proper order. Teachers think the principal exists to support them when parental complaints occur and to handle disciplinary problems that interrupt the smooth operation of their

class. The community at large wants the principal to be representative of his school and participate in community drives, organizing Little League games and making talks for community groups without charge. They seek to use him as a status symbol. His attendance at certain events lends spirit and unity for comradery. Parents of students anticipate the principal's role as keeping order in the school while controlling the performance of teachers so that their children might receive the best possible educational experiences. They view his office as the legitimate place to issue complaints and expect change to automatically follow. The local board expects conformity to the bureaucratic structure and a wise and judicious handling of financial matters at the local school. They wish for the principal to keep his ear close to the ground to listen for rumblings of discontent and dissatisfaction from any faction of the system. The state board mandates that certain policies and regulations be carried out by the local school. It is in a position to impose sanctions and punishments of varying natures when its mandates are ignored. Students expect the principal to place demands on them in accordance with school policies but yet protect them from unfair and demeaning practices by teachers.

The things that are clearly evident from the examples above are that the principal is expected to be many things to many people. He cannot possibly wear the many varied hats that are expected of him. To fulfill the complete image of all groups collectively he would need to be reconstructed and programmed as a robot rather than existing as a human being.

The myth exists that a good teacher automatically makes a good principal. Traditional belief is held that teaching experience is a necessary prerequisite to becoming a principal. To date, there seems to be little

convincing evidence that success in teaching directly relates to success in the principalship.<sup>9</sup>

Various states are beginning to deal with this matter on a legal basis. Recent legislation in the states of Oregon, Washington and California has eliminated teaching experience as a prerequisite for certification in educational administration. Customs have led the public to believe that unless the principal has had lengthy experience in teaching and managing children in a classroom he will be unable to empathize with the real problems of the teachers of whom he will be the leader.

While prior experience in teaching does give the principal a limited view of how schools are operated and experience in building relationships with youngsters, it does not prepare him for dealing with adults which is one of the principal's major responsibilities. As a teacher, the principal had to contend only with the organization of learning, order and supervision of those students in his class. As principal, he finds this job multiplied many times as he attempts to deal with many classes, each with a distinct personality of its own.

The "good" teacher may be selected as principal because he was loyal to the school, the community and those in command. He probably showed no indication of radicalism or was not involved in taking a controversial stand. In essence, he had the perseverance to fill smoothly a slot in the existing bureaucratic structure.

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<sup>9</sup>Lonnie H. Wagstaff and Russell Spillman, "Who Should Be Principal?" National Elementary Principal, 53 (July/August, 1974), 35.

Sarason related that

. . . being a teacher for a number of years may be in most instances antithetical to being an educational leader or vehicle of change. There is little in the nature of the classroom teacher, there is little in the motivation of the teacher to become a principal, there is little in the actual experience of the teacher with principals and there is even less in the criteria by which a principal is chosen to expect that the role of the principal will be viewed as a vehicle and in practice used for educational change and innovation.<sup>10</sup>

Many principals allow themselves to have absolute belief in the myth that the principalship is a stepping-stone to the superintendency or a similar position in the central office. Because of the bureaucratic nature of most educational systems, principals assume that the most direct route to a higher position is to follow the steps up the bureaucratic ladder - one rung at a time. There are several motivations that encourage the principal to comply closely with the beliefs of his system, follow central office directives unquestioningly and keep problems to a minimum so that he might be considered among the possible candidates for the higher positions. A desire for greater prestige, power and influence which principals and others usually view as an absolute characteristic of the next highest position is the first motivation.

The desire for increased salary is another motivation. Traditionally the higher the position on the bureaucratic scale the greater the salary. A third motivation is the desire to assume a position that is more challenging of one's intellectual ability. A common misconception associated with this motivation is the assumption that the higher the position the more intelligence one must possess in order to perform adequately the

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<sup>10</sup>Seymour Sarason, "The Principal and the Power to Change," National Elementary Principal, 53 (July/August, 1974), 48.

duties of that position. An additional motivation for moving to the superintendency or a similar position on the central office team is to assure a lessening of direct contact with the problems of teachers, parents and students. The principal perceives a situation with fewer problems as equated with less conflict and controversy, therefore, leaving him time for those duties he considers to be of greater importance.

It is a widely held myth that principals have power to do whatever they please and that unlimited resources are available to them. Convention speakers, textbook authors and writers in professional journals have encouraged the principal to exercise his leadership power in whatever ways he desires. In reality, the principal is by no means free to perform as he pleases because of the constraining forces of the educational bureaucracy, the power of the community and the adamant resistance of teachers to change. These powerful forces have the ability to strip the principal of any power he might possess by means of his positional authority, his expertise or his astute human relations.

The public tends to believe the axiom that natural resources are limited and that each person must do his share to conserve them but they seem to have little or no conception of the scarcity of non-natural resources needed and valued by educational personnel. In general terms, the public views the principal as having all the available resources, monetary and human, that will be adequate to provide the best services possible in educating the youngsters of our nation. In planning for implementation of new programs and innovations the principal must confront the reality that resources are limited.

## ORGANIZATIONAL INFLUENCES

Organizational forces that affect the school principal tend to revolve around the amount of power that he is granted and his willingness to exercise judiciously that power. A leader, whether he be the school principal, the president of a major university, or the foreman in a cabinet shop must have power - power to make decisions and bring about change.

The principal's sources of power are schematically depicted in figure 2. His power may be derived from either a formal power base or an informal power base with several identifying criteria under each. The sources of power may exist independently according to the felt need and situation the principal is involved in at any given time or the sources may intertwine and provide a multi-foundation from which the principal can operate.

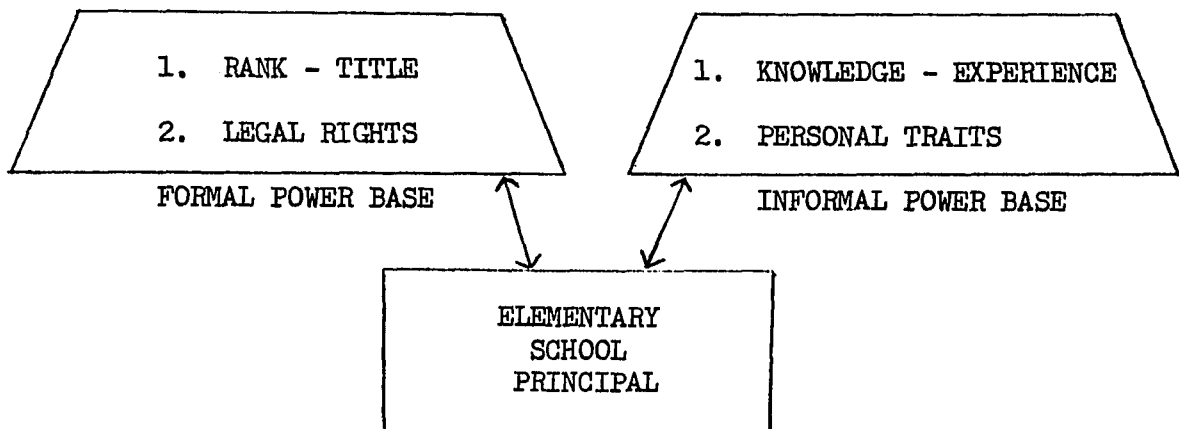


Figure 2

Power Bases for the Elementary School Principal



### Formal Power

1. Rank - title authority is conferred independent of the individual. Because of his rank he is able to direct subordinates simply because "he is the boss" or "he is the principal."

2. Legal rights power is ascribed or delegated legitimate power coming from the superintendent, the board of education or state educational officials. The principal simply relays legal procedures to those who work in the school. An example of legal rights power is when the principal enforces limitations of class size because state regulations deem it illegal to overstep size boundaries.

### Informal Power

1. Knowledge - experience power comes from the principal possessing competence in educational knowledge, understanding and awareness for the goals that should be attained at the elementary school level. His successful experience in educational affairs wins the confidence and trustfulness of those with whom he works.

2. Personal traits have a bearing on the power of the principal. His ability to build positive human relationships with staff and community members and a genuine concern for their welfare grant him informal power from which he may draw as a successful advantage in exerting leadership authority.

Several decades ago the principal was granted a greater and more absolute role in decision making. He decided what books to purchase and the basic curriculum to be taught. He assisted in making decisions about teacher competency and which persons would be asked to return the following

year without being bound by tenure laws or having to negotiate salaries with unions or militant groups. Today, the decision-making is shared by many who occupy the bureaucratic structure. Today's principal is no longer considered the authority in his field. Teachers, parents and community members are becoming more knowledgeable in ways schools should be operated and each group wishes to protect its own vested interests.

Sarason<sup>11</sup> claimed that the principal is in a "pivotal position" and that any attempt to bring about change in the local school must begin with the principal. In contrast, Donald Myers<sup>12</sup> indicated that principals must operate from a powerless base because he is neither a part of the administrative team nor teacher organizations involved in collective bargaining.

Organizational influences in the form of constraints prohibit the principal from controlling most rewards and sanctions by which he might regulate performances of those who work under his supervision. The principal has little or nothing to do with the establishment of monetary rewards or punishments except in the case of merit pay. Teachers are paid according to a predetermined state and local scale commensurate with the number of years of experience and the degree possessed rather than the quality of teaching. The principal is not in a position to establish bonuses or fringe benefits. It is difficult if not impossible for the principal to discharge a teacher from his duties because of unsatisfactory

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<sup>11</sup>Sarason, op. cit., p. 53.

<sup>12</sup>Donald Myers, "The Chautauqua Papers: A Dissent," National Elementary Principal, 54 (September, 1974), 18-20.

performance. He might elect to assign him to undesirable duties and impose pressure on him to improve his teaching, consequently forcing him to voluntarily leave his position. This action may have wide range effects on the morale of the school staff, community support and may have damaging effects on both his personal and professional reputation.

There is a power realignment taking place in educational systems that directly influences the principal. In the past, teacher groups discussed grievances with the principal who would either handle them himself or pass them along to the superintendent. This is no longer the case. Collective bargaining groups simply bypass the principal completely and go directly to the superintendent or board of education. An analogy to this emerging relationship is the supervisor in an industrial or textile plant who often stands by helplessly without in-put as members of the labor team negotiate with top management. The continued rise and increasing power of professional educator groups may help change the role of the school principal completely. He may be required to mediate between groups in order to hold the school together.

The mere nature of the bureaucratic structure is an influence that contributes to powerlessness. Katz said "One effect of bureaucracy is to make bureaucrats."<sup>13</sup> Most studies show the longer one stays in a bureaucracy the more bureaucratized he becomes. When a bureaucracy expects absolute conformity it leads either to complacency and apathy or on the other hand to restlessness, resentment and sometimes radical behavior.

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<sup>13</sup>Michael B. Katz, Class, Bureaucracy and Schools: The Illusion of Educational Change in America (New York: Praeger Publishers, 1971), p. 57.

Even though the principal's power is measurably reduced by the bureaucratic scheme of most school systems it does have some advantages. The bureaucracy does allow for a certain amount of predictability by adhering to a system of rules and regulations. It formalizes authoritarian measures for dealing with organizational goals and purposes.

Because of the characteristics, practices and traditions of an educational bureaucracy, administrative trivia is considered an important part of the principal's day. He becomes burdened by numerous statistical and financial reports, charting test scores, collecting money, regulating the furnace and on and on. He finds there is little time left in the school day for working with teachers or building an instructional program.

Constitutional rights for students which have been activated by the courts have proven to be a major organizational influence on the school. The period has gone when the principal could send a child home to change into more proper attire or to get his hair cut. Students no longer defer to authoritarian adult figures that are placed over them. They are demanding in a critical and questioning manner that they have equal voice in planning for their educational experiences.

To protect himself and the school system, the principal is obligated to follow a series of steps before a child can be suspended or punished by corporal measures. Failure to follow these steps can result in allegations on the part of parents and students. For those cases brought to court the principal is involved in court proceedings for days or even weeks and is thereby obliged to neglect his duties at the school.

An additional organizational influence is that the large size of most schools in America precludes effective leadership by the principal at the

building level. Too many students and increased staff members debar the principal from establishing essential alliances with those persons who comprise the school population. He is expected to solve problems and remedy conflicting situations without personally knowing those persons who are involved. Increased procedures of busing have prohibited the principal from being knowledgeable about the customs and norms that permeate the neighborhood or section of town from which some youngsters are coming.

While the addition of specialized personnel such as federally funded reading teachers, teachers of learning disabled, gifted and talented and mentally retarded youngsters may seem to be a boost to the school's overall program there must be some coordination and supervision of their services if they are to be truly beneficial to those students whom they are serving. This coordination is time consuming and energy draining for the principal. The mass addition of teaching aides in most elementary schools has had much the same effect on the leader of the school since he is ultimately responsible for regulating the functions, tasks and accountability measures for these additional staff members.

A further organizational influence on the actions of the elementary school principal is the demand for well-documented evaluations to be completed by the principal on each teacher. Although the principal considers it his responsibility to visit classrooms to observe teachers in action so he can provide verbal and/or written evaluation that may be a preface for change, he is usually greeted with hostility and anxiety. Most principals probably prefer not to visit classrooms since it is time-consuming, threatening, and damaging to principal/teacher relationships and there is very little he feels he can do to bring about change if the

teacher has tenure and substantial standing in the community. As a result the principal may tolerate questionable things going on in classrooms or simply deny that undesirable situations exist.

In contrast to the teacher evaluation, the rating of the principal by his superintendent also acts as an organizational influence. Because the superintendent rarely observes the principal in action in the school he tends to use other criteria to measure his performance. The promptness and neatness of his reports, his ability to appease parents to the point that they will not take their requests to the superintendent's office and his allegiance to the organization are often characteristics the principal is judged on. In essence, the smoother, less controversial school environment the principal is able to maintain, the higher his chances are of getting a superior rating even at the expense of forfeiting the quality of instructional program being carried out in the school. If the principal knows of changes that need to be made in the school but implementation of them may bring about disfavor by the superintendent or the community it serves as justification for staying near the bottom limits of the range of his role, thus reinforcing his passivity rather than promoting assertivity.

An important variable in assessing the behavior of the principal is how he perceives the superintendent's expectations. Generally, principals behave in the pattern designed for them by the superintendent of the school system in order to ensure job security, approval and in some instances a bid for a promotion within the system.

It would be unwise and untrue to assume that all principals wish to be carbon copies of their superintendents. Regardless of controversial and often slanderous issues some leaders maintain that they are in control

of their destiny and the things that happen in their school because their actions are based on internal forces rather than allowing external forces to completely reshape and mold them.

### PSYCHOLOGICAL INFLUENCES

One of the most magnanimous psychological influences on the elementary principal has been brought to surface by research and journal writings which contribute to the development of his poor self-concept since many authors portray him as having null or diminished stature. Hoban exemplifies this by his remark,

For the most part, as stereotype would have it, the principal is a personification of the Peter principle - that is, he has risen to his level of incompetence - who has parlayed his hierarchical orientation along with his reasonable social ability into a higher paying educational job. . . . Since this negative picture of the principal exists and may be proliferating, the status of the principalship is diminishing and as the status of the principal diminishes the traditional power invested in the office no longer provides the reservoir of leadership potential it once did. Thus it is now possible and in some places fashionable to deny that the principal is the instructional leader of the school. In these situations, then, the principal can no longer be counted on to be the innovative leader in the school. To the skeptical teacher, be he reactionary in his resistance to change or radical in his advocacy of it, the principal can easily be seen as the critical impediment to, rather than the inspiration for, educational improvement.<sup>14</sup>

Some groups have initiated movements simply to eradicate the principalship position which may have negative psychological effects on principals

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<sup>14</sup>Gary Hoban, "The School Without a Principal," The Power to Change - Issues for the Innovative Educator, ed. Carmen M. Culver and Gary Hoban, I/D/E/A Reports on Schooling (New York: McGraw Hill, 1973), pp. 148-149.

who presently serve in such positions. The principal confronts mixed signals that confuse him at best and "hurt" him at worst: our culture emphasizes individual psychology, which is supported by the previously mentioned myth that the principal can be anything he wishes, and yet reality tells him he has few sources of power as a principal. The principal who won't admit this dilemma certainly can't confront it with action. He experiences double-bind: he can't find emotional or psychological release in admitting it, let alone acting on such a consciousness.

A certain percentage of the teacher and parent population perceives the principal as one who is incapable of educational leadership. To discount this image the principal must exhibit confidence in his ability to respond to problems and concerns that confront him. He must strive to provide quality leadership for the school regardless of existing ambiguity and uncertainty.

#### PURPOSE OF THE STUDY

Major research and writings in the area of educational administration have indicated that principals are not exercising the function of instructional and program leadership but that it is widely agreed to be their most significant obligation.

The purpose of this study is to develop an analytic and programmatic model for the principalship allowing the person occupying that position to serve as the professional leader in the areas of curriculum and instruction and to better relate to those forces that tend to compel him to serve as a managerial functionary.



A managerial functionary is a person for whom all major decisions concerning his role are made for him. He has very little verbal input into policies and procedures that shape and mold his professional existence. These decisions are made for him either by those who occupy positions above him in a bureaucracy or subordinates below him who use the collective bargaining technique or other methods to pressure the functionary to conform to their wishes. The realization of subordinate pressure was brought to light in 1947 by Herbert Simon as he wrote, "In a very real sense the leader or the superior is merely a bus driver whose passengers will leave him unless he takes them in the direction they wish to go. They leave him only minor discretion as to the road to be followed."<sup>15</sup>

In contrast, the professional educator's role emerges as the result of his expertise and knowledge in the area of education. His performance and attainment of well-defined objectives are policed by his professional collegial circle rather than by a superior in a bureaucratic structure. His actions come as a result of internal forces which allow him to control his destiny.

A further purpose is to encourage elementary school principals to make united efforts to define their roles as professional leaders and to examine and analyze the history of their setting, the plight of present constraints that surround them and the possible consequences of building a new architectural structure for the elementary principalship.

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<sup>15</sup>Herbert Simon, Administrative Behavior - A Study of Decision-Making in Administrative Organization (New York: MacMillan Company, 1947), p. 134.

## METHODOLOGY

Conceptual Model Building

The methodology for model building utilized in this study is in direct correlation with the purposes and goals of the dissertation.

There is evidence of ambiguity attached to the term "model" because of the difficulties that arise with the normal usage of the expression. There is no descriptive definition,<sup>16</sup> one on which there is consensus. The term "model" usually refers to isomorphic theories. Isomorphism requires there be a one to one correspondence between the elements of the model and the elements of the thing of which it is the model. A simple example of this concept is a miniature train that serves as a model of a real train.

Because of this ambiguousness it is necessary to adopt a prescriptive or programmatic definition of "model" to serve the investigator's research purposes. The investigator will use the term "model" and "paradigm" interchangeably to mean a figure or pattern that graphically illustrates educational ends, means and philosophical underpinnings for such ends and means. In short, "model" will refer to a working model for heuristic purposes.

An investigator's methodology is much more than a list of techniques. It rests on a set of assumptions concerning how inquiry should take place

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<sup>16</sup>Israel Scheffler identifies three kinds of definitions, stipulative, descriptive and programmatic in his book The Language of Education (Springfield, Illinois: Charles C. Thomas Publisher, 1960), p. 13-19.

and what claims can be made about that which is discovered. The creation of a settings model has its own basic assumptions that serve the inquirer in his investigation.

First assumption: The technical approach to research has serious limitations. The problem solving orientation that serves as the cornerstone of the technical approach assumes that all causes can be known and there is a right solution to any problem.<sup>17</sup> The experimental research model, which has its origin in the Agrarian Land Grant legislation, is basically a linear problem solving model with a definite beginning (pretest) and ending (post test). It doesn't, however, manifest the realities of the change process with its continuous subtleties. The scientific method from the physical sciences transferred to the Agrarian needs of the Land Grant legislation and then moved to areas such as industry, medicine and the military.

Creation of settings methodology recognizes that (a) there is an infinite number of causes of any event, some of which will never be known and (b) there are usually many acceptable answers rather than one absolute correct answer.

The challenge to the investigator is to create a language that communicates the before mentioned aspects. An example is that in reality many issues are dilemmas that must be reconciled rather than problems that must be solved. The first assumption makes clear the ambiguous nature of change and yet leaves the educator with the feeling of potency.

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<sup>17</sup>Seymour Sarason, "The Nature of Problem Solving in Social Action" (paper presented at the Eastern Psychological Association, Boston, April 14, 1977).

Second assumption: This assumption recognizes the important role of non-verbal communication. The tacit dimension<sup>18</sup> of communication is understood by scholars in the various disciplines. For this reason, the investigator used personal interviews rather than questionnaires or written testing procedures. The investigator interviewed twenty-two elementary school principals concerning existing trichotomy among the roles they presently play, the roles they are expected to play and the roles they desire to play. Anonymity was assured to these persons to protect the positions they currently occupy.<sup>19</sup>

Third assumption: The investigator clearly recognized the importance of relating to the history of the research topic. Sarason has indicated that the reason for the misfiring of many creation of settings is because adequate histories are not gathered and assessed.<sup>20</sup> The preliminary research for the dissertation involved an examination of copies of dissertations and Educational Administrative Abstracts to support the premise that the topic warranted investigation.

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<sup>18</sup>This phrase used by Edward T. Hall in his book on non-verbal communication entitled The Silent Language (Connecticut: Fawcett Publications, 1959).

<sup>19</sup>Principals were chosen from administrative units throughout North Carolina. The group included five females and seventeen males whose school populations range from 240 to 631 students. Age span of the principals ranges from 31 years to 60 years. Their schools represent a wide variation of teaching-learning styles. The interviews lasted from forty minutes to three and one-half hours. Interviews were conducted through prior arrangement and in one of the following ways: In the office of the interviewee; at the State Accreditation Meeting for Principals and Supervisors in Raleigh, North Carolina, November 9, 1977; at the State Principals' Conference in Raleigh, November 7, 8, 9, 1977.

<sup>20</sup>Seymour Sarason, The Creation of Settings and the Future Societies (California: Jossey-Bass Publishers, 1972), p. 165.

A search of prevailing writings in educational and psychological journals was used to locate background information on the present need for the principalship to be remade. Current books and pamphlets on the dissertation topic were located through card catalogs at the University of North Carolina at Greensboro and at Chapel Hill.

Correspondence with noted persons in the fields of educational administration and psychology proved to be informative.<sup>21</sup>

Fourth assumption: There is a significant relationship between analysis and program building-description vs. prescription. It is incumbent on the educator-researcher to reflect and act. The writing style for the dissertation will merge personal observations with other sources.

#### DEFINITION OF TERMS

Administrative Team - ". . . personnel as superiors or superordinates, emulating the patterns of the military, and of business and industry."<sup>22</sup>

Authority - An influence that creates respect and confidence. The terms authority and power are used interchangeably in the dissertation and mean power or authority with people rather than power or authority over people.

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<sup>21</sup>Correspondence was conducted with: Harold J. McNally, Professor of Administrative Leadership and Director of Doctoral Studies in Urban Education, University of Wisconsin/Milwaukee.  
Seymour Sarason, Professor of Psychology at the Center for the Study of Education, Yale University, New Haven, Connecticut.

<sup>22</sup>Harold McNally, "Summing Up," National Elementary Principal, (September-October, 1974), p. 12.

Bureaucratic Model - ". . . organization in that authority is the central, indispensable means of managerial control."<sup>23</sup>

Leadership - "A technological proficiency, combined with a moral complexity and a high degree of personal responsibility."<sup>24</sup>

Managerial Functionary - A person for whom all major decisions are made.

Model - A figure or pattern that graphically illustrates educational ends and means and philosophical underpinnings for such ends and means.

Principal - The term "principal" is used in broad context in this study. It refers to the head or one of the heads of a school.

Professional - A profession is more readily distinguishable by the way its practitioners function, i.e., 1) a professional functions on the basis of an esoteric body of knowledge which is shared with colleagues but which few people outside the profession can understand; 2) a professional applies knowledge and makes decisions in highly ambiguous situations; 3) a professional focuses on process rather than product and his competency is judged by colleagues on the basis of the processes used."<sup>25</sup>

Professional Covenants - ". . . used to describe agreements between those who relate to each other in the professional decision-making mode."<sup>26</sup>

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<sup>23</sup>Douglas McGregor, The Human Side of Enterprise (New York: McGraw Hill, 1960), p. 18.

<sup>24</sup>Edward Smith, "Chester Barnard's Concept of Leadership," Educational Administration Quarterly, II (Autumn, 1975), 38.

<sup>25</sup>Roland H. Nelson, Jr. and Lois V. Edinger, "Can We Tolerate a Teaching Profession? Part II," North Carolina Education, V. No. 4 (December, 1974), 16.

<sup>26</sup>Brubaker, op. cit., p. 36.

Setting - "Any instance when two or more people come together in new and sustained relationships to achieve certain goals . . . ." <sup>27</sup>

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<sup>27</sup> Sarason, op. cit., p. ix.

## Chapter 2

### REVIEW OF CURRENT LITERATURE

The purpose of this chapter is to examine current literature allied to a managerial functionary role versus a professional leadership role for the elementary school principal. Additionally, controversial writings relative to the influence that preparation and selection processes of elementary principals have on the performance of the person serving in this role will be investigated and synthesized. This is accomplished by reviewing the thinking of scholars in the areas of education, psychology and philosophy. Review of the literature will be categorized according to pertinent headings.

### THE PRINCIPAL AS INSTRUCTIONAL LEADER

To adequately discuss leadership, it is paramount that the term be defined as it applies to an educational setting. Louis Annese gave the following definition: "The professional leader is one who influences his staff to exceed the limits of minimum contractual agreements."<sup>1</sup> This meaning projects the leadership concept beyond the parameters of formal authorizations or positional sanctions. Annese extended his point further by relating:

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<sup>1</sup>Louis E. Annese, "The Principal as a Change Agent," The Clearing House, (January, 1971), p. 273.



. . . contractual acquiescence to formal authority does not require leadership; contractual acquiescence is a product of administrative maintenance procedures. This form of leadership behavior confines the principal to the position of overseer of task routines.<sup>2</sup>

Blau and Scott reinforced this statement when they suggested "executive leadership evidentially involves exerting influences that go far beyond the confines of the legal contract and thus cannot be legitimated by it."<sup>3</sup>

Barnard defined leadership as the "relatively high personal capacity for both technological attainments and moral complexity" when "combined with the propensity for consistency in conformance to moral factors of the individual."<sup>4</sup> To simplify his definition, leadership is viewed as technological proficiency, combined with a moral complexity and a high degree of responsibility.

In 1935, Pigors defined leadership as "a process of mutual stimulation which, by successful interplay or relevant differences, controls human energy in the pursuit of a common cause."<sup>5</sup> Pigors' definition gives relevance to a potent interaction between a leader and followers working toward commonly set goals. The same idea persists in Stodgill's definition, "the process of influencing the activities of an organized group in its

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<sup>2</sup>Ibid.

<sup>3</sup>P. N. Blau and W. R. Scott, Formal Organizations: A Comparative Approach (San Francisco, California: Chandler Publishing Company, 1962), p. 141.

<sup>4</sup>Chester Barnard, The Functions of the Executive (Cambridge: Harvard University Press, 1968) p. 288.

<sup>5</sup>Paul J. W. Pigors, Leadership and Domination (Boston: Houghton Mifflin, 1935), p. 16.

efforts toward goal setting and goal achievement."<sup>6</sup> A brief, but meaningful definition has been contributed by Wilson, Ramseyer and Immegart who contend that leadership is "a directed, social force."<sup>7</sup>

Variations and shades of the concept of leadership have evolved from the preceding paragraphs. After reviewing the problem of definition, the meaning of leadership which is most nearly consistent with the theme of the dissertation is that process in which an individual is accountable for the tasks of managing and coordinating the group experiences necessary to achieve change or well-defined goals.

The need for the principal to become an instructional leader in the school has been voiced for extended periods of time. Instead of taking positive steps to make changes in his role we have introduced novel programs and innovative curricula, modernized buildings and increased professional faculties in hopes that the principal's instructional leadership qualities would simply emerge and reign throughout his tenure. This has been a sad and regrettable misconception.

Seymour Sarason claimed that the principal is the key person in the school for providing educational leadership. He further claimed that any proposal for change that intended to alter the quality of life in an elementary school depended primarily on the principal.<sup>8</sup> In concurrence,

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<sup>6</sup>Ralph Stodgill, "Leadership, Membership and Organization," Psychological Bulletin, (January, 1950), p. 4.

<sup>7</sup>Harold Wilson, John Ramseyer and Glen Immegart, "The Group and It's Leaders" (Ohio State University: Department of Education, Center for Educational Administration, 1963), p. 2. (Mimeographed.)

<sup>8</sup>Seymour B. Sarason, "The Principal and the Power to Change," National Elementary Principal, 53 (July/ August, 1974), 52.

Charles Brown stated "as long as the educational system is organized into units called schools . . . the principal will remain a leading character in whatever drama unfolds."<sup>9</sup>

Emphasis on an educational leadership role for the principal appears in statements like that of a president of the Chicago School Board who believed principals should be educators first and administrators second. Principals, he said, must be "experts in scholarly and educational matters."<sup>10</sup>

Although many writers use ostentatious phrases to describe the elementary principal as a well-informed instructional leader, one searches in vain for research to support this assertion.

A close inspection of Public School Laws of North Carolina revealed there is only slight referral to the principal serving as the instructional leader of the school. Public law 115-150 which is headed "Authority and duty of principal generally" stated:

The principal shall have authority to grade and classify students and exercise discipline over the pupils of the school. The principal shall make all reports to the county or city superintendent or give suggestions to teachers for the improvement of instruction . . . .<sup>11</sup>

The law book expounded on the principal's duty to make reports required by the boards of education and the superintendent or pay vouchers will be

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<sup>9</sup>Charles E. Brown, "The Principal as Learner," National Elementary Principal, 53 (July, 1974), 20.

<sup>10</sup>W. W. Brickman, "The Educational Leader as a Scholar and Man of Culture," School and Society, 85 (April 27, 1957), 147.

<sup>11</sup>State Board of Education, Public School Laws of North Carolina (Charlottesville, Virginia: Michie Company, 1976), p. 120.

withheld. It also emphasized his responsibilities toward keeping buildings in repair and protecting them from damage lest he be held financially responsible for any damages that incur.<sup>12</sup>

Although public law 115-8 defined the principal as "the executive head of a school"<sup>13</sup> the duties listed in the law book reinforce the managerial functionary concept rather than an executive, educational leadership role.

To further substantiate the subordinate role of the principal Myers contended that statements made by Sloan Wayland about teachers being subordinate members of a bureaucracy equally applied to principals.

Essentially what I am saying is that the principal is a subordinate member of an organization, a bureaucracy in the sociological sense and that the basic definition of his role in that system is largely determined for him. Modifications in that role are made in the interest of the goals of the system and the individual must either accept this role or seek a setting where the role is more to his liking.<sup>14</sup>

Weischadle viewed the dilemma from a different perspective since he placed the blame on the principal for not setting instructional leadership as his top priority. He contended that the majority of principals do little to ward off the time consuming chores of paperwork and other trivial matters. He emphasized his position by stating:

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<sup>12</sup>Ibid.

<sup>13</sup>Ibid., p. 19.

<sup>14</sup>Donald A. Myers, "The Chautauqua Papers: A Dissent," National Elementary Principal, 54 (September, 1974), 19.

Principals are victimized and will continue to be victimized until they state clearly what their priorities are. They must clearly focus on instruction, letting teachers and others know to assess the administrative sent to him so it does not impose on his instructional leadership time.<sup>15</sup>

Conant, in one of his reports, made reference to the leadership of the principal in the instructional program by remarking, "the difference between a good school and a poor school is often the difference between a good and a poor principal."<sup>16</sup> If this statement is accurate, why do principals consistently remain negligent in exercising a leadership role for instructional matters that would enhance the quality of education in the schools? There are conflicting views on why principals prefer to serve as managerial functionaries rather than instructional leaders. Many principals view the situation as a paradox since they assume they are expected to conform to a prescribed role but yet desire to be creative leaders and foster growth among the members of their staffs. The prescribed role may give lip service to instructional leadership but expectations are more atuned to reporting, maintenance, disciplining, and other custodial services which can be more openly viewed and critiqued by the public. Boguee reinforced this through his research which indicated that schools have a tremendous influence over the principal's behavior by expecting compliance to the beliefs held by the school and the superiors of the

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<sup>15</sup>David Weischadle, "The Principal: Reviving a Waning Educational Role," The Clearing House, 48 (April, 1974), 452.

<sup>16</sup>James B. Conant, Education in the Junior High School Years (Princeton, New Jersey: Educational Testing Services, 1960), p. 37.

principal.<sup>17</sup> In the same vein, Bridges' research concluded that the behavior of the elementary school principal is being shaped more and more by expectations held for him and less by his own personality and desire for instructional leadership.<sup>18</sup>

Other researchers have documented reasons for the principal's lack of educational leadership. Swift stated that situational factors which contribute to the principal's lack of attention to instruction and over which he has little or no control are the size of the school, the school's history, the stability of the neighborhood and the social class of the students in the school.<sup>19</sup>

Yet another scholar, Rogers, felt that the principal uses paperwork, scheduling, cafeteria duty, etc. as a defense against his ineptness and relative ignorance of good classroom teaching procedure.<sup>20</sup>

Since the issue of managerial functionary versus instructional leader has risen to a new level of importance in recent years, literature has dealt with the comparison of the American principal with the British headmaster. Writings have alluded to the British headmaster as a new breed of educational leader who works under a different set of assumptions than does the American principal.

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<sup>17</sup>E. G. Bogue, "The Context of Organizational Behavior: A Conceptual Synthesis for the Educational Administrator," Educational Administration Quarterly, (Spring, 1961).

<sup>18</sup>E. M. Bridges, "Bureaucratic Socialization: The Influence of Experience Upon the Elementary Principal," Educational Administrative Quarterly, (Spring, 1965), p. 19-28.

<sup>19</sup>David W. Swift, "Situations and Stereotypes: Variations in the School Administrator's Role," The Elementary School Journal, (November, 1974), p. 69.

<sup>20</sup>Vincent R. Rogers, "A Sense of Purpose," National Elementary Principal, 53 (May, 1974), 9.

A research study by the NEA Department of Elementary School Principals in 1968 reported that American principals do not become involved in regular classroom teaching or act as teacher trainers, the two roles that are considered paramount to the English head.<sup>21</sup>

British educational change begins in the local school as opposed to the American system of change which usually comes as an implication or directive from the central office. The British Schools Council allows each headmaster to take complete responsibility for the development of his own curriculum with the learning experiences that comprise the curriculum developed according to the individual learning styles of the children in that school.<sup>22</sup>

Spodek, an advocator of the English educational leadership role has stated:

. . . a shift in role and preparation plus development of appropriate support systems might make it possible to restructure the role of the American elementary school principal along the lines of the English headmaster and thus bring about educational reform.<sup>23</sup>

#### INFLUENCES ON THE STATUS OF THE PRINCIPAL

There are varying influences, both positive and negative, that can operate singularly or collectively to determine the status of the

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<sup>21</sup>NEA, Department of Elementary School Principals, The Elementary School Principals in 1968 . . . A Research Study (Washington, D.C.: Department of Elementary School Principals, 1968).

<sup>22</sup>Rogers, op. cit., p. 6.

<sup>23</sup>Bernard Spodek, "The Pressure to Conform," National Elementary Principal, 53 (May, 1973), 16.

elementary school principal. Literature related to these influences is examined under relevant themes.

### Sources of Authority

In this era of questioning the principal's authority - first by teachers then by parents and students it is imperative that an analysis of authoritarian sources available to the principal be examined. Three major schemes to illustrate the sources of authority available to the principal will be presented. Moving from the most simple to a more complex pattern, Guba's two-dimensional pattern will be presented first. Akin to Guba's formulation is Brubaker's four based model. The third illustration is French and Raven's analysis of five kinds of authority.

Guba suggests that the principal's authority is derived from two sources - the role dimension and the person dimension, both of which he believes can be used to realize goal achievement. The role dimension is brought to fruition by assigning the principal to a role which carries delegated status and authority. The person dimension derives power through earned prestige and authority from personal characteristics such as training, experience and personality.<sup>24</sup> An example to clarify the concept of personal dimension might occur when the principal of an elementary school desires to instigate staff training sessions for two consecutive afternoons following the close of the school day. The staff sessions are designed to last two hours each day past the regularly scheduled departure

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<sup>24</sup>Egon G. Guba, "Research in Internal Administration - What Do We Know?" Administrative Theory As a Guide to Action, eds. Roald F. Campbell and James M. Lipham (Chicago: Midwest Administration, University of Chicago, 1960), pp. 113-130.



time for teachers. No opposition is voiced to the principal's plan since they respect his expertise in realizing the training sessions are badly needed and the principal has personally supported the teachers concerning their issues on many past occasions.

Brubaker has identified four main sources of authority that are available to the principal: 1) positional authority which comes by nature of the principal's title or rank 2) expertise, which provides power through the principal's knowledge and understanding of educational theory and implementation 3) charisma comes through display of the principal's charm and his ability to remain personable in all conflicting situations 4) succorance as a source of authority is demonstrated by the principal's support and understanding of teachers' and parents' feelings.<sup>25</sup> Brubaker's concept of positional authority is in direct correlation to what Guba terms as role dimension. Along the same line, Guba's concept of person dimension can be viewed as a collective theme for Brubaker's last three sources of authority - expertise, charisma, and succorance.

The French and Raven's studies indicated that educational personnel respond favorably to their superior because he is the one who controls rewards or coercions to bring about goal attainment. The five types of power and their justifications are:

1. Reward - Subordinates perceive that the school executive has control over rewards granted to them.

2. Coercive - Subordinates perceive that the school executive can distribute punishment or sanctions.

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<sup>25</sup>Dale Brubaker, Creative Leadership in Elementary Schools (Dubuque, Iowa: Kendall/Hunt Publishing Company, 1976), pp. 30-31.

3. Legitimate - Subordinates perceive the principal as expecting conformity because of his position and status.

4. Referent - Subordinates perceive the principal as an acceptable model therefore they are accepting of his decisions.

5. Expert - Subordinates perceive the principal as possessing great knowledge in educational matters and decision-making.<sup>26</sup>

Many of the characteristics inherent in the patterns of authority sources by Brubaker and Guba are also apparent in the scheme by French and Raven.

A statement in the Declaration of Independence that "Governments derive their just power from the consent of the governed" gives evidence that one concept of authority leans heavily on the influence that the group has with the leader. Griffiths' thoughts have attested to this theory.

The democratic concept of authority differs most noticeably from the totalitarian in that it encourages the rational thinking of the individual and allows him the right to adhere to whatever conclusion he may reach. In a democratic environment, every effort is made to stimulate critical thinking on the part of those in subservient roles. This is accomplished by attempting to allow all individuals to assume leadership roles when their talents permit.<sup>27</sup>

The true sources of authority that are available to any principal are dependent on a number of given notions - some which are fixed and

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<sup>26</sup>John R. P. French, Jr. and Bertram Raven, "The Bases of Social Power," Group Dynamics: Research and Theory, eds. Dorwin Cartwright and Alvin Zander (New York: Harper and Row, 1968), pp. 262-268.

<sup>27</sup>Daniel E. Griffiths, Human Relations in School Administration (New York: Appleton - Century - Crofts, 1956), p. 141.

some which are variable. With experimentation and reflection the principal will be able to assess which sources are available to him in his particular situation and use them as meaningful tools.

#### Constraints From Power Sources Above and Below the Principal

During earlier periods of education the principal reigned as the epitome of nobility in the educational structure. He used this positional authority as a major source of power to bring about change and as a route for attaining specified goals. Much change has taken place in the last forty years, mainly in the form of a realignment of power. The following figure schematically represents those power forces directly above and below the principal that have a direct influence on his performance.

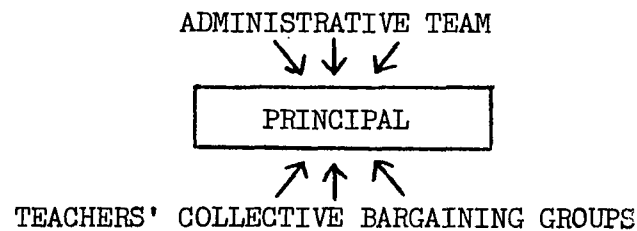


Figure 3

#### Power Sources Directly Above and Below the Principal

Tension, anxiety and a general dissatisfaction with the state of things has become an American symbol. Is there any wonder that teachers have decided to "take up the cross" and become militant since militancy is an almost sure means to power?

The aggressiveness of organized teacher groups promises greater conflict in the coming decade between the school principal and teachers. Teacher groups across the nation are becoming sophisticated in their

attempt at collective bargaining. In simplest terms two forms of collective bargaining can be identified for educators. One form of bargaining emerges when teachers and principals are mutually distrustful. Bargaining takes another form when teachers and principals decide to trust each other - when both groups decide on mutually acceptable goals and become involved in a joint planning process to reach the goals. History has led us to believe that all collective bargaining measures fall within the first group where there is always a winner and a loser.

Walton and McKersie have provided a differentiated framework which includes four types of bargaining. Each type is briefly described with accompanying educational application.

1. Distributive bargaining is characterized by one party winning while the other party experiences loss. It deals more with resolving conflicts rather than solving problems. This form of bargaining is often used to settle conditions such as benefits, salaries and other work conditions.

2. Integrative bargaining involves no win-lose element. The main intent is not to increase one's own advantage over another but to increase advantages for all participants. Integrative bargaining occurs when both parties negotiate for improved instructional goals and strategies, professional rights and other mutually agreed upon goals.

3. Attitudinal bargaining deals with the restructuring of attitudes the two bargaining groups have toward each other. Principals come to recognize that teachers should be allowed to participate in decisions that affect them and their performance. On the other hand, teachers view principals as cooperative leaders with no hungry thirst for power.

4. Intra-organizational bargaining has as its aim the building of a firm foundation before the actual bargaining process begins. Each individual group whether it be principals or teachers achieves a consensus of opinion among its own members before initiating a bargaining procedure with another group.<sup>28</sup>

Prior to the establishment of collective bargaining groups, teachers possessed individual power, especially over students. Today with such weapons as strikes, sanctions, legal protection and the security of organized groups they are beginning to exert dynamic influences on administrative decisions thus causing a change in the status of the principal.

McNally emphasized this point by relating that many principals once felt themselves an integral part of the school instructional team and had a close working relationship with members of his staff but with the advent of collective bargaining procedures, this relationship has become shattered.<sup>29</sup>

Corwin maintained that in considering reorganization of systems, "administrators will have to take into account one of the most powerful phenomena of our times - the professional organization of employees."<sup>30</sup>

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<sup>28</sup>Richard E. Walton and Robert B. McKersie, A Behavioral Theory of Labor Negotiations (New York: McGraw Hill, 1965), p. 84.

<sup>29</sup>Harold McNally, "A Matter of Trust," National Elementary Principal, 53 (November, 1973), 21.

<sup>30</sup>Ronald G. Corwin, "Professional Persons in Public Organizations," Educational Administrative Quarterly, I (Autumn, 1965), 17-20.

Godline related to Corwin's statement by noting that the profession of teaching is appealing to an increasing number of persons who refuse to be intimidated or to conform to the authoritarian domain.<sup>31</sup>

Myers has probably spoken out the strongest of all scholars by relating "Teachers today seem increasingly to reject all administrators whether they are 'good' or 'bad' seeking instead to restructure the educational authority system entirely."<sup>32</sup>

Teachers have asserted their cause not only to have a strong voice in governance in matters of policy and regulations but in seeking alternatives to the present selection of leaders. Nearly three decades ago Moehlmann suggested that teachers within a school would ideally select the principal from among their own ranks.<sup>33</sup>

Sergiovanni and Carver have taken an opposite view of teacher bargaining groups. They contend that increased power for teachers will complement and enhance the power of the principal.

School executives and school boards do not automatically lose power and influence as teachers gain power and influence. There is no fixed power pie to be distributed - power distribution is not necessarily a win-lose proposition. Current

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<sup>31</sup>Morton R. Godline "Collective Negotiations and Public Policy With Special Reference to Public Education," Readings on Collective Negotiations in Public Education, ed. Stanley M. Elam et al. (Chicago: Rand McNally and Co., 1967) p. 33.

<sup>32</sup>Myers, op. cit., p. 23.

<sup>33</sup>Arthur B. Moehlmann, School Administration: Its Development, Principles and Function in the United States (Boston: Houghton Mifflin, 1951), pp. 274-275.

thinking suggests an open power system in the school which permits power expansion . . . . This relationship suggests that gains in teacher influence potentially increase influence of school executives.<sup>34</sup>

The power source of the central office or administrative team has an intense influence on the principal. Research indicates that the term "administrative team" has varying connotations for different groups. The AASA publication Profiles of the Administrative Team reported that respondents to their study considered the administrative team as consisting exclusively of central office administrative and supervisory personnel.<sup>35</sup> In contrast, McNally takes issue with this finding. He contended that his definition of the administrative team included the middle-management segment, namely the building principal:

The administrative team is a group formally constituted by the board of education and superintendent, comprising both central office and middle echelon administrative-supervisory personnel, with expressly stated responsibility and authority for participation in school system decision-making.<sup>36</sup>

McNally offered this definition as a means of suggesting to superintendents and boards of education that they accept the feasibility of adding principals to the central office team lest serious consequences occur.

Unless superintendents and boards of education make remarkable changes in their relationships with middle management in the schools, unless they treat middle managers with more respect, enlist them more widely and meaningfully

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<sup>34</sup>Thomas Sergiovanni and Fred D. Carver, The New School Executive (New York: Dodd, Mead and Company, 1975), p. 102.

<sup>35</sup>American Association of School Administrators, Profiles of the Administrative Team (Washington, D.C.: American Association of School Administrators, 1971).

<sup>36</sup>McNally, op. cit., p.

in decision making on system goals, policies and procedures, and confer with them more meaningfully on matters relating to their roles, salaries and conditions of work, we shall see a rapid increase in the number of administrative bargaining units (or unions, where law permits) throughout the country.<sup>37</sup>

Cross concurred with McNally's definition since he relates that the administrative team is a group of "district administrators including principals, who as a corporate group, administer the district's schools."<sup>38</sup>

Cross intimated that in some systems principals were drawn into the superintendent's team when the development of collective bargaining left teachers and superintendents on opposite sides of the organization. At this time superintendents reached out to secure needed allies in the form of principals.<sup>39</sup>

#### Preparation of the Principal

Professionals in the field of higher education have shown little creativity in developing preparation programs for the principal. Widespread feeling indicates that training programs exist because they are required by custom, status and certification laws. Ivar Berg has aptly termed this "the great training robbery."<sup>40</sup>

Cook and Mack severely criticized the training of principals in the United States. They believed that because certification qualifications

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<sup>37</sup>Ibid.

<sup>38</sup>Ray Cross, "The Administrative Team or Decentralization?" National Elementary Principal, 54 (November, 1974), 80.

<sup>39</sup>Ibid.

<sup>40</sup>Ivar Berg, Education and Jobs: The Great Training Robbery (New York: Praeger, 1970).



which require a predetermined number of preparatory courses are set up by the state departments of education, the administrative nature of the principalship is being reinforced. The authors contrasted the American system with the British system which draws its heads from among the finest teachers in the classroom setting rather than using the American procedure of depending on university preparatory prerequisites.<sup>41</sup>

William Wayson alleged there is a one to one correspondence between poor preparation programs and poor leadership qualities of principals.

When preparation programs reflect indecision and a lack of goals, the administrators who have participated in them emerge marked by insecurity, indecisiveness, absence of goals, isolation, hostility and low levels of accomplishment. In short, the act of training leaders without attending to goals and value judgements and without choosing among outcomes has produced leaderless schools.<sup>42</sup>

Wayson made further reference to principal preparation as he presented a challenge to training institutions to prioritize training for principals and at the same time offered his explanation for a lack of interest in teaching in the area of principal development.

Developing school principals must be raised to a higher level of priority and status in institutions of higher education. Though it is not generally recognized as such, training principals is a low status occupation in schools of education and therefore yields low rewards.<sup>43</sup>

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<sup>41</sup>Ann Cook and Herb Mack, "Educational Leadership: A Trans-Atlantic Perspective," National Elementary Principal, 53 (May, 1974), 15.

<sup>42</sup>William Wayson "A Proposal to Remake the Principalship," National Elementary Principal, 54 (September, 1974), 36.

<sup>43</sup>Ibid.

It is evident that considerable blame for the inadequate preparation of administrative personnel has been placed on the departments of educational administration. The 1960's called for reform of these departments but as an AASA report noted "In general, institutions were more likely to add new program elements than to delete old ones."<sup>44</sup> Additionally, Morrow, Foster, and Estes have stated that departments of educational administration are producing too many of the same kinds of people to become principals. They contend that when superintendents or other higher administrative personnel retire, they secure positions in departments of educational administration and produce new principals in their own image, thus causing a chain reaction in the performance of school administrators.<sup>45</sup>

Likewise, Mitchell's study A Look at the Overlooked took a negative view about the possibility of reform in principal training programs.

Those who believed it possible to change higher educational institutions and thus affect the input into educational administration must concede that, as presently structured, these institutions do not have the necessary flexibility to adopt promising innovations. Programs at institutions offering advanced degrees in educational administration have a great deal in common.<sup>46</sup>

Previous remarks lead the reader to conclude that reform of preparation of principals is a necessity and should start with training

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<sup>44</sup>American Association of School Administrators, Preparation for the American School Superintendency (Washington, D.C.: American Association of School Administrators, 1972) p. 12.

<sup>45</sup>John Morrow, Richard Foster, and Nolan Estes, "Networking: A White Paper on the Preparation of School Administrators," National Elementary Principal, 53 (July/August, 1974), 11.

<sup>46</sup>Donald Mitchell and Anne Hawley, Leadership in Public Education Study: A Look at the Overlooked (Washington, D.C.: Academy for Educational Development, 1972), p. 30.

institutions; however, there seems to be little consensus on ways to bring about this reform. McNally and Dean have designed a paradigm for the total preparation of the elementary principal. The model places emphasis on four major components of administrative preparation: general education, background in professional education, knowledge of the content of administration and administrative skills.

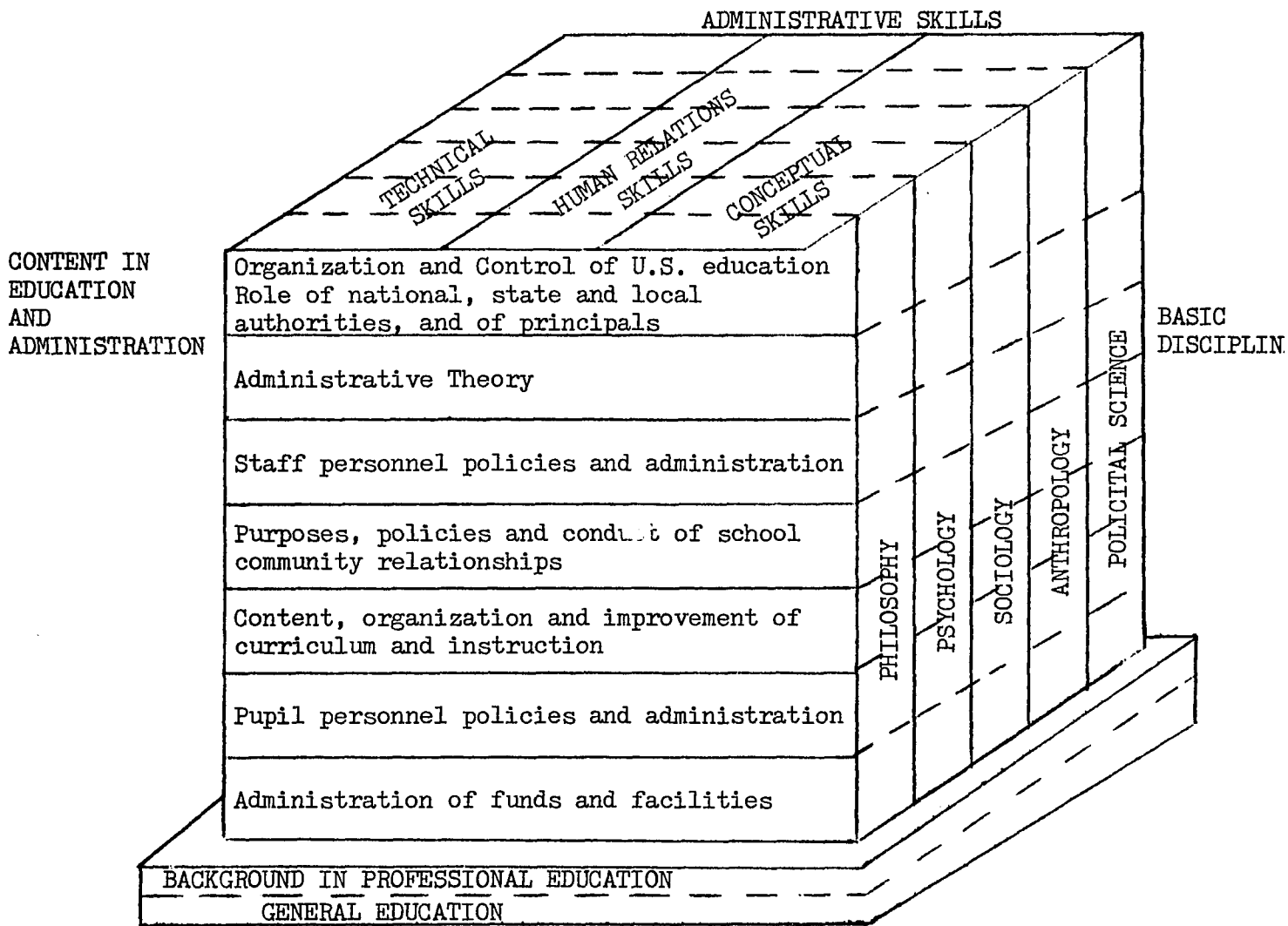


Figure 4

Preparation of the Elementary School Principal<sup>47</sup>

<sup>47</sup>Willard S. Elsbree, Harold McNally, Richard Wynn, Elementary School Administration and Supervision (New York: American Book Company, 1967) p. 64.

The model supports the belief that professional preparation should rest on a broad base of general education started in the initial year of college and extended through graduate courses. The second component of the program includes subject areas, philosophy, psychology, sociology, anthropology, political sciences, which complement and enhance the educational administrative domain. The third area of concern includes knowledge of content in education and administration. These areas become narrower in scope and are directly related to job performance. The final category attempts to develop administrative skills necessary for competency in the principalship.

Inservice programs tend to have as much influence on the status of the principal and his performance as does preservice programming. There are many sound reasons for doing something about providing continuing education for principals but often they are left on their own to select courses which will bring needed renewal credit or those that deal with sensational aspects of education. Charles Brown has identified the following four reasons for school systems failing to provide opportunities for continued learning for principals: 1) lack of funds to directly support inservice programs for principals 2) superintendents have not understood the importance of making such an investment 3) individual school district inservice programs are virtually nonexistent 4) principals are reluctant to ask for inservice programs for fear of being considered weak and ineffective.<sup>48</sup>

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<sup>48</sup>Brown, op. cit., p. 20-21.

It would appear to be a sensible move for school systems to invest heavily in continuing educational programs for principals since tight economic situations and decreasing enrollements indicate that most principals will remain in their present positions for long periods of time.

### Selection of Principals

The most controversial issue surrounding the selection of those who occupy the principalship has centered around the prerequisite of teaching experience. The public has lived by the assumption that teaching experience is the most direct route to the principalship and because there is such a vast teaching population there must be administrative talent lying dormant within the ranks.<sup>49</sup>

Halpin and Croft found that by studying the biographies of large numbers of principals, it was apparent that a commonly shared basis for the selection of principals was evidence of experience as a successful teacher.<sup>50</sup>

Wiggins concurred with this finding but also assumed that this method of selection assured that teachers who migrate to principalships will behave in a predictable and uniform manner.

School districts identify upward mobile teachers, and they make assessments as to the compatibility these teachers have with the image the district holds for successful

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<sup>49</sup>Lavern Cunningham, "The Principal in the Learning Community," National Elementary Principal, 53 (July/August, 1974), 40.

<sup>50</sup>A. W. Halpin and D. B. Croft, The Biographical Characteristics of Elementary Principals (Washington, D.C.: Government Printing Office, 1960).

principals. One can surmise that promotions based upon these conditions constitute a way that school districts reward compliance and make predictions about continued compliance in the principal role.<sup>51</sup>

Sarason took issue with a selection process based on prior teaching experience. He asserted that teachers have an unrealistic view of the complexity of the principal's role because it is impossible to view him in the many relationships in which he is engaged. Therefore, teachers moving to principalships have a narrow conception of the actual role of the principal.<sup>52</sup>

As an alternate selection process Cunningham has made reference to several universities and state departments of education, under the auspices of the National Program for Education Leadership, who have been testing the concept of the incorporation of non-educational people into educational leadership positions. He rated their effectiveness as being based on personal rather than academic determinants.<sup>53</sup>

Since the issue of women desiring job equality with men has been of prime importance in the last several years, it seems fitting to briefly mention the status of women selected as elementary school principals.

Statistics indicate the percentage of women employed as elementary school principals has decreased in the past thirty years. Statistics from

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<sup>51</sup>Thomas W. Wiggins "Behavior Characteristics of School Principals," Education, 93 (September, 1972), 36.

<sup>52</sup>Sarason, op. cit., p. 48.

<sup>53</sup>Cunningham, op. cit., p. 40.

1971 showed that during that year 85 percent of teachers were women while 79 percent of elementary principals were men.<sup>54</sup>

Even though there has been limited research completed in the area of women as principals, a study conducted in the commonwealth of Virginia for the Virginia Association of Elementary School Principals revealed that female principals devoted more time to professional growth activities than did male counterparts. The women were shown to be more adept in selecting appropriate educational materials.<sup>55</sup>

A study by Gross and Frank indicated that women principals were more concerned about and interested in the welfare of students; specifically their problems and designing learning experiences according to the individual needs of the students than were their male counterparts. The studies suggested that students achieved higher academically under female principals than they did under the supervision of male principals.<sup>56</sup>

#### PROFESSIONAL-BUREAUCRATIC DISTINCTION

The organizational structure of any educational institution is dependent on the arrangement of role relationships as they accomplish the goals of the organization. The most common organizational structure of schools is bureaucracy. Abbott asserted this belief, "The American schools

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<sup>54</sup>National Education Association Research Division. Professional Women in Public Schools 1970-71 Research Bulletin (Washington, D.C.: National Education Association Research Division, October, 1971) pp. 67-68.

<sup>55</sup>W. H. Seawell and Joseph Spagnolo, Jr., The Elementary School Principalship in Virginia (Charlottesville: The Curry Memorial School of Education, University of Virginia, December, 1969).

<sup>56</sup>Neal Gross and Ann Frank, Men and Women as Elementary School Principals (Cambridge, Mass: Harvard University Graduate School of Education, 1965), p. 14.

have been particularly receptive to the bureaucratic ideology, albeit perhaps unwittingly."<sup>57</sup> In his notable work on organizational structure, Max Weber has identified three types of authority - legal, traditional and charismatic - he equated legal authority with the bureaucracy," . . . capable of attaining the highest degree of efficiency and in this sense formally the most rational means of carrying out imperative control over human beings."<sup>58</sup>

Sergiovanni and Carver have described the distinguishing traits of a bureaucracy according to Weber's formulation: They can easily be applied to a school.

1. A well-defined hierarchy of offices. Organizational authority is allocated to and through these offices, which also have specified functions. The organizational chart outlines the hierarchical authority. Position titles, while not specific job descriptions, usually furnish an important clue as to what "competence" is associated with that office.

2. Selection of office holders on the basis of technical qualifications. Certificates, licenses, and diplomas provide evidence that one has achieved a minimum level of qualification. Incumbents are appointed rather than elected to office.

3. Remuneration received in the form of fixed salaries, with office holders treating the office as the primary, if not sole, occupation and considering it a career.

4. Office holders subject to organizationally developed rules and regulations in the conduct of their offices. Thus, predictability is increased by assuring a reasonable degree of stability.

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<sup>57</sup>Max G. Abbott, "Hierarchical Impediments to Innovations in Educational Organizations," Change Perspectives in Educational Administration, (Auburn, Alabama: School of Education, Auburn University, 1965), pp. 40-53.

<sup>58</sup>A. M. Henderson and Talcott Parsons, trans., The Theory of Social and Economic Organization, by Max Weber (New York: Free Press, 1974), p. 337.



5. Rules and regulations that are impersonal in nature. That is, office holders are expected to perform their functions quite independently of their personal selves.<sup>59</sup>

The sociologist Robert Presthus has identified three patterns which persons use to adapt to their respective organization. He labeled the three patterns as upward mobiles, ambivalents and indifferents.<sup>60</sup> For this discussion on bureaucratic and professional models the pattern of upward mobiles will be scrutinized to the exclusion of the other two since it is so closely related to the characteristic behavior of persons adapting to the bureaucratic scheme in schools.

The upward mobile identifies with his organizational structure through loyalty to those above him, strict adherence to the expectations and parameters set by the system and no indication of association with controversial issues. In return, the upward mobile enjoys being accepted into the "in-group" and anticipates being rewarded for his conformity by promotion or other rewards. Because of his accommodating manner there is little creativity in his performance. He desires favor and approval from his bureaucratic superiors rather than relying on his own knowledge and experience to make decisions.

Although bureaucracies are usually thought of in negative terms there are positive effects of structures that are organized bureaucratically. According to Sergiovanni and Carver, bureaucratic structures produce

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<sup>59</sup>Sergiovanni and Carver, op. cit., p. 137.

<sup>60</sup>Robert Presthus, The Organizational Society (New York: Alfred Knopf, 1962) pp

predictable results in an organization with the use of impersonal regulations and specific guidelines as to the job performances of each subordinate.<sup>61</sup>

Through their design of the general bureaucratic model, March and Simon showed that both anticipated and unanticipated consequences in the use of the bureaucratic structure reinforce its use. Unanticipated consequences are most often the result of bureaucracies which require rigid adherence to structure and regulations.

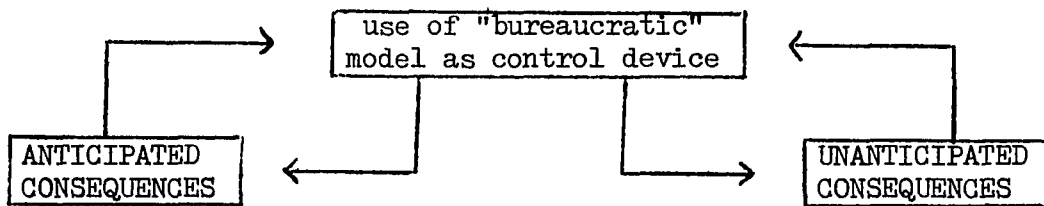


Figure 5

The General Bureaucracy Model<sup>62</sup>

Brubaker has offered three reasons why schools as governmental organizations are bureaucratically organized:

1. The first reason is that bureaucracy provides for disciplined compliance with rules, regulations and directives from superiors.

2. Secondly, the hierarchical organization of a bureaucracy provides clear lines of authority and responsibility so that individuals can readily be held accountable for their actions.

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<sup>61</sup>Ibid.

<sup>62</sup>James G. March and Herbert A. Simon, Organizations (New York: John Wiley, 1958), p. 37.

3. A third reason for organizing schools bureaucratically is that bureaucracy seems best suited to organizations whose ends are discreet and measurable, whose objectives are clear and generally agreed upon, and whose casual relationships between means and ends are readily demonstratable.<sup>63</sup>

In the last decade bureaucratic structures have been sharing roles with the professional framework in the field of education. There are various individual and organizational needs that are aptly met by bureaucratic standards. Among these are assignment of students to classes, allocating materials and supplies, managing communication procedures such as memos, organizing and maintaining record keeping. Tasks such as these are structured by the school bureaucracy leaving professional workers free to express opinions on the instructional program, guidance and stimulation of student performance and deciding when and what type in-service training is necessary.

Brubaker presented more clearly a design for the professional model by listing three characteristics which can be used to distinguish it from the bureaucratic model:

1. The professional organization is primarily concerned with the discovery or application of knowledge.

2. Professional organizations may have within them many non-professional and semi-professional workers who may be organized in the traditional bureaucratic manner, but basic decisions about functions are made by the professionals themselves.

3. Professional organizations emphasize achievement of objectives rather than disciplined compliance to a highly programmed process for achieving objectives.<sup>64</sup>

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<sup>63</sup>Dale Brubaker and Roland H. Nelson, Jr., Introduction to Educational Decision-Making (Dubuque, Iowa: Kendall/Hunt Publishing Company, 1972), pp. 36-37.

<sup>64</sup>Ibid., p. 40.

In a similar vein, Nelson and Edinger have identified the characteristics of the professional model as:

1. A professional functions on the basis of an esoteric body of knowledge which is shared with colleagues but which few people outside the profession can understand.
2. A professional applies knowledge and makes decisions in highly ambiguous situations.
3. A professional focuses on process rather than product and his competency is judged by colleagues on the basis of the processes used.<sup>65</sup>

Teacher organizations are still for the most part largely concerned with working conditions. Militant or bargaining activities often result in an increased number of rules, regulations or even a more rigid school structure. These patterns of activities and their results retard the development of a true professional bureaucracy.

Traditionally, teachers have been submissive to the management systems of schools but this feeling has been gradually changing. They may desire bureaucratic measures which insulate them from angry parents but resent principals and other administrators when they are ignored in decision-making and policy implementation. This situation illustrates points of conflict between the professional and bureaucratic models. This conflict is better illustrated by the following table adapted from a comparison by Ronald Corwin.

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<sup>65</sup>Roland H. Nelson, Jr. and Lois V. Edinger, "Can We Tolerate A Teaching Profession? Part II," North Carolina Education, 5 (December, 1974), 16-17.

Bureaucratic Expectations

1. Stress on uniformity of students' problems and needs: standardized inputs.
2. Stress on rules and regulations: programmed decision-making.
3. Universal application of rules: fairness.
4. Stress of efficient accomplishment of operational tasks.
5. Skill based on practice: experience differentials in status and rank.
6. Decisions focus on application of rules to routine problems.
7. Hierarchically-legal authority.
8. Loyalty to the school, its administration and trustees.

Professional Expectations

1. Stress on uniqueness of students' problems and needs: variable inputs.
2. Stress on research and change: problem-centered decision-making.
3. Particularistic application of rules: fairness.
4. Stress on achievement of goals.
5. Skill based on knowledge: merit differentials in status and rank.
6. Decisions focus on application of policy and knowledge to unique problems.
7. Ability-professional authority.
8. Loyalty to the profession and students.

Figure 6

Points of Conflict Between Bureaucratic  
and Professional Values<sup>66</sup>

Along the same lines, Blau and Scott have contrasted the bureaucratic and professional models:

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<sup>66</sup>Table adapted from comparison developed by Ronald Corwin "Professionals in Public Organizations," Educational Administrative Quarterly, Vol. 1 (1965), p. 1-22.

## Bureaucratic Model

1. The bureaucrat's foremost responsibility is to represent and promote the interests of his organization.

2. The bureaucrat gets his authority from a legal contract backed by the rights and privileges of his office.

3. The bureaucrat's decisions are governed by disciplined compliance with directives from superiors.

4. The court of last resort for appeal of a decision by a bureaucrat is higher management.

## Professional Model

1. The professional is bound by a norm of service and a code of ethics to represent the welfare of his clients.

2. The professional's source of authority comes from his technical competence and expertise and knowledge.

3. The professional's decisions are governed by internalized professional standards.

4. The court of last resort for appeal of a decision by a professional is his professional colleagues.

Figure 7

Bureaucratic Model vs. Professional Model<sup>67</sup>

## EDUCATIONAL DECISION-MAKING

Decision-making is the central activity for the principal. It permeates all activities and events that are encountered by the executive head or his designees. McCamy reinforced this by stating, "The reaching of a decision is the core of administration, all other attributes of the administrative process being dependent on, interwoven with, and existent for the making of decisions."<sup>68</sup> Barnard also pointed out the importance

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<sup>67</sup>Blau and Scott, op. cit., p. 297.

<sup>68</sup>James L. McCamy, "An Analysis of the Process of Decision Making," Public Administration Review, 7 (Winter 1974), 41.

of decision-making by saying, "The essential process of adaptation in organizations is decision, whereby the physical, biological, personal and social factors of the situation are selected for specific combination by volitional action."<sup>69</sup>

In giving consideration to the concept of decision-making, it is necessary to give a definition which is commensurate with the theme of the dissertation. Lipham has offered an all-encompassing definition in which he explains the concept to be a process "wherein an awareness of a problematic state of a system, influenced by information and values, is reduced to competing alternatives, among which a choice is made, based upon estimated outcome status of the system."<sup>70</sup> This definition indicates the importance of initially being cognizant that a situation exists which requires the making of a decision and with what urgency the decision should be made. Barnard gave emphasis to this point as he stated: "The fine art of executive decision consists of not deciding questions that are not now pertinent, in not deciding prematurely, in not making decisions that cannot be made effective, and in not making decisions that others should make."<sup>71</sup>

As the definition declared, information and values have a profound influence on the problem at hand and the decision that ultimately will be

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<sup>69</sup>Barnard, op. cit., p. 286.

<sup>70</sup>James M. Lipham, "Improving the Decision Making Skills of the Principal," Performance Objectives for School Principals, eds. Jack A. Culbertson, Curtis Henson and Ruel Morrison (Berkeley: McCutchan Publishing Corporation, 1974), p. 84.

<sup>71</sup>Barnard, op. cit., p. 194.

reached. A prudent study of the history of the situation, followed by an extraction of pertinent information, constitutes an initial stage in preparation for making a decision.<sup>72</sup>

The values of the principal, the organization and society affect decision making since all three may view the situation from varying perspectives. The person or persons in each setting must develop a sensitivity for the belief system of those in the other two settings before mature decisions can be reached.<sup>73</sup>

Numerous models for decision making in organizations have been developed, many of which can be applied in one form or another to educational settings. Delbecq has cultivated a tri-based model which is directly applicable to the choices in decision making that are available to principals.

1. Routine decision making makes reference to those decisions that constitute the mass of the principal's time. The decisions of the principal as referred to in this category are usually determined by those above or below him in the bureaucratic structure. These decisions are characterized by formality and coordinated procedures.

2. Heuristic decision making is characterized by lack of emphasis on the hierarchical structure. Principals feel at liberty to explore all possible ideas bearing on the problem and final decisions are usually the result of much creativity, originality and brainstorming with others who will be affected by the decision.

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<sup>72</sup>Lipham, op. cit., p. 85.

<sup>73</sup>Ibid., p. 89.



3. Compromise decision making is a method by which the principal is concerned with the handling of conflict. In such situations, two groups may be in opposition concerning the decision to be made as, for example, in teacher negotiations.<sup>74</sup>

Sergiovanni and Carver have contrasted the rational decision making model with an irrational or workable decision making model. They concluded that school executives are most likely to abide by the workable decision-making strategies since, although they "seek solutions to problems which are best, they settle for solutions which are satisfactory."<sup>75</sup>

Assumptions for rational decision-making model:

1. The exact nature of the problem to be solved is delineated and clear goals are formulated.
2. The decision maker identifies and specifies all possible alternatives to the problem.
3. The decision maker anticipates and specifies all possible outcomes of each alternative.
4. Each of the outcomes is weighted and ranked from best to worst.

Steps to irrational or workable decision making strategies:

1. Identify simple objectives with manageable goals.
2. Outline several alternatives which occur to them within the limits imposed by time, their experience, and other constraints.

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<sup>74</sup>Andrae L. Delbecq, "The Management of Decision-Making Within the Firm: Three Strategies for Three Types of Decision-Making," Academy of Management Journal, 10 (December, 1967), 329-339.

<sup>75</sup>Sergiovanni and Carver, op. cit., p. 6.

3. Make comparisons among these alternatives using theory, conceptual knowledge, opinion, past experience, judgment and intuition.

4. Select feasible alternatives which seem most consistent with original problem or goal.<sup>76</sup>

The workable decision making model is less restrictive and more easily adaptable to the patterns of the school principal than the rational approach. In support of the previously stated definition of decision making, the irrational model does not require refined delineation of all possible outcomes but rather suggests the selection of several suitable alternatives for comparison since exact knowledge of consequences which follow alternatives is rare.

Although it appears to be a battle of verbiage, Brubaker and Nelson contrasted with Sergiovanni and Carver on the view of rationality in decision making. They maintained that rationality should be a prime factor in the making of decisions as well as justification of decisions previously made. These authors have noted key variables involved in decision making:

1. Knowledge of what one wants to achieve indicates the importance of having well defined goals and objectives.

2. The decision maker must make a realistic assessment as to what resources are or will be available to him presently or in the future and the possibility of certain resources being available.

3. The decision maker needs to be cognizant of present existing obstacles as well as those which will possibly or probably occur in the future.

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<sup>76</sup>Ibid.

4. The decision maker must have a reserve of alternate courses of action since there is no absolute correct decision.
5. The decision maker must develop a time line to be certain that events are moving toward a decision.
6. The decision maker must establish evaluative checkpoints on his route and utilize these as a source for spot analyzing.
7. The decision maker must have the necessary machinery to establish new objectives, goals or timetables.<sup>77</sup>

#### THE PRINCIPAL AND CHANGE

Major changes and the change process have impinged upon the principal and the school thus causing an urgent need for new skills on the part of the principal and a redefining of objectives and values from which the principal's actions will evolve. The majority of change occurs systematically and can be handled by the principal with relative ease and confidence; other change may come as a surprise with little opportunity for preparation and the effect is often disastrous. Change may come in the form of a directive from higher sources or as pressures or expressed needs from staff members, students or the community population.

Although there is no one way of bringing about successful change, perhaps the best known strategies have been voiced by McGregor in his Theory X and Theory Y. Theory X probably contributes little to positive change since it assumes that man dislikes responsibility. McGregor argued that Theory X administrators impose change with little or no faculty

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<sup>77</sup>Brubaker and Nelson, op. cit., pp. 77-78.

involvement. This can be viewed as an inhumane way of bringing about change and usually results in apathy and bitterness. Theory Y presents man as an assertive, confronting person. The Y administrator is easily approached, desires open and honest forms of communication and utilizes humane strategies for promoting desired change.<sup>78</sup>

Weischadale maintained "It is probably the principal who senses first that a change is needed."<sup>79</sup> Carl Rogers has related that once the principal has introduced a change or agreed to change proposed by his staff then he is the one responsible for "organizing the resources of the institution. . . in such a way that all the persons involved can work together toward defining and achieving their own goals."<sup>80</sup> In the process of involving persons in a collegial manner, Rogers has emphasized it is the responsibility of the leader to help each participant involved in the change process to "believe that his potential is valued, his capacity for responsibility is trusted, his creative abilities prized."<sup>81</sup>

According to Heichberger, the principal has several important roles to play in the process of change:

1. He must be well read and alert to changes on the local, state and federal levels.
2. He must educate . . . the staff to these possible changes and assess their impact on his school.

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<sup>78</sup>Douglas McGregor, The Human Side of Enterprise (New York: McGraw Hill Book Company, 1960), pp. 34-35 and 47-48.

<sup>79</sup>Weischadale, op. cit., p. 452.

<sup>80</sup>Carl Rogers, Freedom to Learn (Columbus, Ohio: Charles E. Merrill, 1964), p. 207.

<sup>81</sup>Ibid., p. 208.

3. He must predict where along the equilibrium the greatest stress will occur.

4. He must judge at what point counteracting pressure must be applied.

5. He must consider who will act as the change agent or agents to begin involving the entire staff in the change process.

6. He is responsible for establishing the proper atmosphere and communication channels.

7. If balloons are to be sent up to test the air then he must also be ready to evaluate the feedback.<sup>82</sup>

A common problem in the field of education as well as other areas is resistance to change. Brown has expressed that one way people attempt to avoid change "is by creating in their minds imaginary catastrophies that might happen if they . . . move into the unknown of new experience."<sup>83</sup>

Anderson suggested that teachers are not fearful of change that will improve programs as long as it is not forced on them by the principal:

Curriculum change and innovation leading to more effective instruction cannot be simply mandated. However, if the principal desires innovation and change he will find many teachers eager to assist.<sup>84</sup>

More recently writings have suggested a formalized organizational change procedure within the school. A cabinet is elected or appointed and

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<sup>82</sup>Robert L. Heichberger, "Toward a Strategy for Humanizing the Change Process in Schools" Educational Change, A Humanistic Approach, eds. Ray Eiben and Al Milliren, (California: University Associates, 1976), p. 115.

<sup>83</sup>George Brown, Human Teaching for Human Learning: An Introduction to Confluent Education (New York: Viking Press, 1971), p. 12.

<sup>84</sup>Hans O. Anderson, "Facilitating Curricular Change: Some Thoughts for the Principal," NASSP Bulletin, (January, 1972), p. 94.

many initiate, review and study change for the school. Feither and Blumberg have reported on their effort in using this approach." . . . The cabinet facilitated meaningful decision making that tended to relieve day to day crises. Through the cabinet, the entire faculty was mobilized."<sup>85</sup>

The boundaries of the domain of change are vast. The principal is often akin to a spider caught in a perilous web as he searches for effective change strategies to master the endless, perplexing situations he and his staff encounter daily. The route by which he approaches change is dependent in part on the role he chooses to play, although this choice is not always a conscious one. An assessment of his perception and understanding of change as well as his present behavior in dealing with change is an initial step before procedures can be refined to provide maximum effectiveness.

#### SUMMARY OF THE LITERATURE

The literature offers the reader varying concepts of leadership as it is applied to an educational setting. Generally, school personnel have interpreted leadership according to what they as individuals perceive it to be, most likely, that process which maintains the smooth operation of the organization while working toward identified goals. All definitions made reference to leadership as possessing considerable influence over others while at the same time maintaining a high degree of responsibility.

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<sup>85</sup>Fred Feither and Arthur Blumberg, "Changing the Organizational Character of a School," The Elementary School Journal, (January, 1971), p. 214.

To make matters more complicated there is considerable controversy centering around the quality and amount of instructional leadership exhibited by principals. Although the literature so aptly termed the principal as an educational program leader there is little research to support this assertion. Ideas and opinions gleaned from the literature ranged from maintaining the theory that the principal holds and is utilizing his pivotal position for leadership of instructional programs (the bulk of literature does not elaborate how) to the claim that principals hide behind voluminous amounts of paperwork and other mundane duties to keep from having to provide instructional leadership which requires a high degree of expertise.

The literature related to influences on the status of the principal is voluminous. A representative sample of the literature has been examined and presented. Sources of authority available to the principal and the effect of his utilization of this authority was found to have a dynamic influence on his functioning. Three major schemes of authority available to the principal were compared.

The literature tended to view the principal as the "man in the middle." Realignment of power available to the school's head has had catastrophic impact on his performance. The most obvious of these forces is the collective bargaining influence of teachers which has continued to gain popularity and at the same time has alienated the principal as leader of the school. Equally important is the power source of the administrative team and their expectations for compliance. More and more administrative teams are including principals as a means of insuring a greater force to confront organized teacher groups.

According to the literature a reform in the preparation and selection of principals is imperative. Many writers allege there is a one to one correspondence between poor preparation programs and poor performance of principals. All reviewed literature seemed in agreement that reform of preparation programs should begin with training institution but few writers issued specifics on how this could be brought to fruition. The prerequisite of teaching experience as the basis for selection of principals has reached a controversial state in recent years. Current literature suggested that prior teaching experience of principals assures school systems of compliance to their norms and expectations but does little to foster educational leadership abilities. Programs to secure non-educational people into educational leadership roles have been under study.

Both the bureaucratic and professional models of organizational structure for school settings are presented. The literature clearly indicated that the most common organizational structure of schools is bureaucracy. Scholars admitted that many educational needs can aptly be met through bureaucratic standards but professionals should be granted the responsibility for applying knowledge, making decisions and being judged by colleagues.

Based on the literature, the process of decision making is the most important responsibility of the principal. Discussions revolving around decision making suggest that the principal should assess situations to determine if a decision actually needs to be made and the urgency with which it needs to be made. The value system of all individuals or groups concerned with the decision have an influence on the ultimate decision.



The majority of decision making models deal with rational versus irrational or workable approaches to reaching decisions.

Closely akin to decision making is the process of change. When decisions are made, changes are bound to occur and the principal plays a paramount role in this process. The literature gave indication that the principal is responsible for organizing resources and building an aura of acceptance for each participant involved in the change process. While there are numerous change strategies available to the principal he must be aware that some resistance is to be expected.

## Chapter 3

### DEVELOPMENT OF A MODEL FOR THE PRINCIPALSHIP

Literary sources from the various disciplines have clearly indicated a concern over the paucity of instructional leadership by elementary school principals. Major studies have acknowledged the principal as a key figure in the school while at the same time labeling him as a major retardant to change, irreparably incompetent and impotent because of the constraints of his organization. These charges and countercharges have simply obscured attempts to build a new and emergent model for the principalship.

Those few reformers who have dared to construct models for the principalship have continued to fall short of their endeavors because of narrow perceptions or failure to take into account the essential underpinnings or astute precautions that beset any process which precludes the building and incorporation of a modeled program to fruition.

#### PRECAUTIONS TO BE CONSIDERED PRECLUDING MODEL BUILDING FOR THE PRINCIPALSHIP

First, decay is inherent in all programs where humans are involved. Reformers often assume an attitude that once a program is established it will be suitable for extended periods of time and all existing problems will automatically be solved by the basic program format. Minute alterations in the peripheral aspects of a program can dictate changes in the core of the structure; therefore, it is most necessary for reformers to sketch in pencil rather than paint in oil. The fact that partial demise

is continually taking place should elicit reformers to think in terms of developing patterns for dealing with consistent adaptation to changing circumstances by anticipating the dimensions of change that could possibly occur.

Secondly, no one model or proposal will prove to be the absolute solution. There will always be in existence those principals who will continue to succeed as effective instructional leaders as well as those who will remain lackadaisical and impotent in a leadership role. No model or program can insure one hundred percent success, but it can serve to increase the chances of success among the growing number of school leaders. Any proposed model will have positive and negative aspects from the standpoint of proponents and detractors. Proponents will emphasize the advantages while detractors will glorify the disadvantages. The intention of the model is not to produce mimics of the reformers, but rather to have principals extract those advantages of the model in which they have faith and work diligently toward incorporating these positive aspects while striving to reduce the disadvantages. Each person will perceive a model in light of his own experiences, beliefs, values and talents; therefore, it is a myth that total compliance to a model is the solution for reforming all school principals.

Third, any proposal for the principalship must consider goals appropriate to a changing society. In many instances, school leaders have failed to establish any goals at all thus focusing on the means rather than the ends. They have assumed that periodic justification of what they are doing is more effective than construction of a simulated time line which designates what is to be accomplished and the processes needed to organize

energies and resources to reach these accomplishments. In the preparation of goals it is paramount that the reformer be cognizant of old successes turning into new failures in new circumstances.

Fourth, reformation should at no time propose that all principals should be doing the same thing at the same time and in the same way. No appreciable change can result from building a model which urges principals to perform in exactly the same way. Principals differ, school environments and other educational circumstances change; therefore, a model must present flexibility by developing skills for making choices in a changing society. Any reformation will surely meet a certain death unless the feeling of everyone doing the same thing is abolished. There must be alternatives co-existing within any organizational pattern to avoid having the principal feel he is being forced into a prescribed behavior which strips him and his system from reaping the benefits of his creativity, originality and brainstorming.

Next, plans for positive change cannot successfully proceed under isolated circumstances. Reformers need the cooperation of those persons for whom the change is going to affect. This statement is a fact that must be dealt with by reformers although the very nature of the involvement or cooperation process can impede the progress of building a model. There will always be some opposition but nevertheless when people have input into changes affecting them they are generally more accepting of such changes.

Sixth, changing the role of the principal delves deep into the roots of the American educational system as well as societal traditions and customs. For as long as man can remember educational systems have been

highly bureaucratized agencies. Generation after generation has perpetuated this type of system. Reformers cannot expect to completely destroy the hierarchy concept and replace it with one that has no relationship to past educational tradition. A thorough study of the history of any setting is needed before proposals for change are presented. Even though reformers often search for an entirely new educational model whose presence has shock value they have usually studied the history of the setting and extracted reliable, positive aspects gained over time and experience to incorporate into the new model. Educational change on a large scale takes time as well as perseverance in the face of adversity. The promotion of the principal as the dynamic instructional leader in elementary schools is a large scale change and will require extended time periods. To bring this leadership role to reality many other facets of the total educational realm will need to be studied and altered before the new role for the principal can be built.

Seventh, no one proposal or model is adequate for all times and all situations. With decreasing enrollments and other changing situations, innovations that once seemed necessary will become dysfunctional. As the people involved in an educational setting grow and develop so the promoters of proposed models must expand their horizons. Schools and school systems are at varying stages of development at any given time; thus, different plans are needed at each stage.

Finally, failure should be permitted and considered as a positive step toward problem solution. In the development and implementation of any model the environment must be changed from one in which everyone must succeed to one in which everyone feels free to make and learn from mistakes.

The task of building a model for the principalship seems an awesome one with all the preceding precautions to be considered. Even though the principalship is intertwined with all of society it would be frivolous to attempt to change the whole of society in order to get at a more effective role for the principalship. Since there are principals operating effectively as instructional leaders under the constraints and boundaries of our present society, then one must assume that models can efficiently be developed to fit in with the current societal context.

Reformers could easily be discouraged if led to believe that all conditions in society must be accounted for and checked if positive change in the principalship role is to occur. Utopia is not to be expected or even hoped for. If such conditions did exist, there would be no conscious need for model building to bring about change.

#### CONSTRUCTION OF A MODEL

The most direct route to model building for the principal as educational leader can be approached through three interrelated stages of development: (a) pre-genesis stage, (b) genesis stage, (c) actuation of setting stage. (See Figure 8.)

##### Pre-Genesis Stage

In the development of a model for the principalship there is a necessity for a stage of pondering and concentration on the need for a new setting. In generating this stage, the reformers become aware of those customs, beliefs and traditions that have shaped and formed the role of the principal as presently encountered.

During this stage it is imperative to determine if society at large and persons directly involved in educational administration deem it necessary to establish a new model for the principalship while yet maintaining the necessary and positive traits of preexisting structures.

The pre-genesis stage presents one with the feeling that some change is needed and anticipated but specific goals and objectives remain in a state of flux.

### Genesis Stage

As illustrated in Figure 8, the genesis stage is an outgrowth of the pre-genesis stage. The foundations for the new setting are becoming more cemented during this period and specific persons are being recruited to give substance to the idea of the model initiated by the leader. The recruitment of resource persons involves covenant formation - the building of relationships between the leader and resource group as well as among resource members. From the covenant formation process evolves the semi-jelling of specific goals for the setting. Value and priority setting tend to elicit questions about goals for a new model for the principalship. These questions center around topics such as identification of the most important role of the elementary school principal and steps need to be taken so this role can be realized without the hindrance of numerous constraints.

### Actuating the Setting

The setting achieves fruition in this stage. No stage within the larger amoeba is ever extinguished or loses its comprehensive influence.

Much akin to circular ripples in a stream, the first or cultivating ripple causes subsequent ones which flow into varying spherical shapes and sizes according to conditions and circumstances but each shape remains influenced by those that go before.

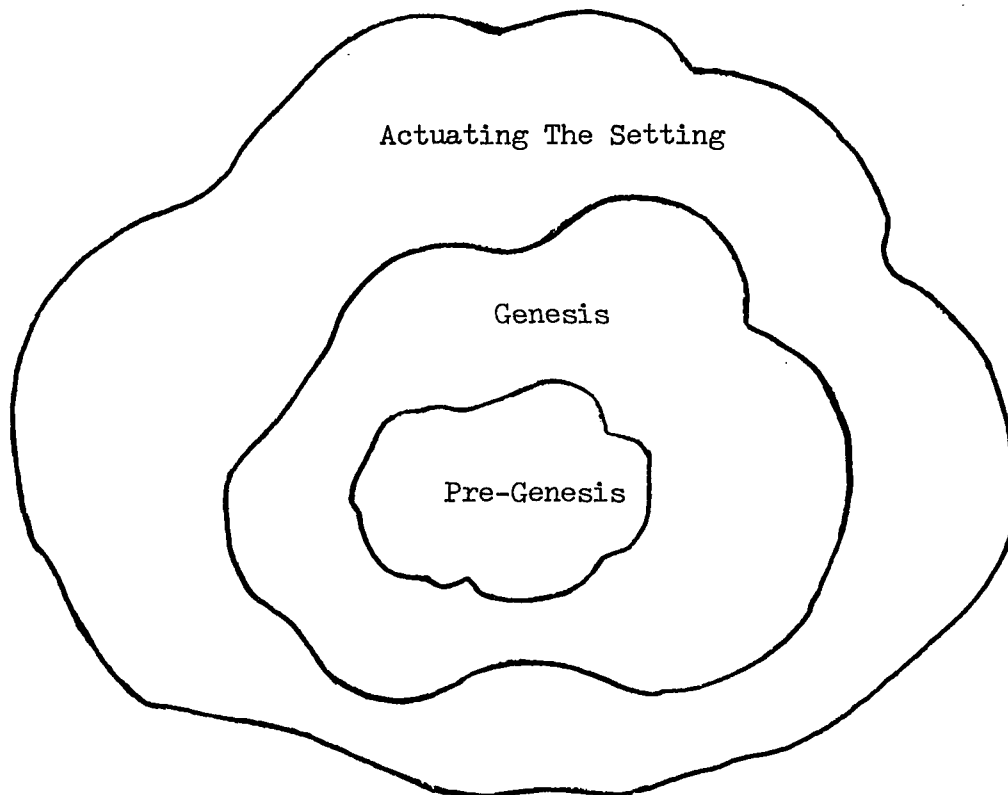


Figure 8

The Model

During the setting development stage goals and objectives become firmly established and a definite sense of mission is determined. Strategies of change are investigated and appropriate ones are put to use in an effort to meet the stated goals. At no time is the setting static. Constantly changing conditions and circumstances, variation in relationships



among involved persons and conscientious demands of those affected by the model cause new needs and values to arise thereby calling for continuous malleability in the setting.

A setting does not operate independently of societal forces nor can its developers escape the influence of traditions and customs. These factors may hinder the idealistic implementation of a proposed model but nonetheless are necessary and inevitable coercions.

The model can be used to build or construct a new situation or renovate an existing one.

#### APPLICATION OF THE MODEL

Inherent in the literature, personal observations and collegial interviews is the need for a setting in which the principal can more effectively serve as a change initiator and leader for the enhancement of a school's instructional program.

Figure 9 presents a schematic design for the development of change in the principalship by utilizing the preceding model.

Of prime importance during the pre-genesis stage is the assessment of the need for change. If a substantial element of the old guard clearly recognizes that change is desirable, a succinct statement of the problematic situation must be presented. Following the decision that change is needed, the judicious task of gathering applicable information is initiated. Positive change cannot be expected to occur unless reformers step back to view the history of the setting. This involves an intense examination of the traditions, symbols and myths which surround the principalship.

A study of traditions, which are beliefs, customs and ideas passed from one generation to another, show the principal characteristically to be of the male sex, an example figure in the community and chosen from among the ranks of experienced teachers who adhere closely to the system's expectations.

Symbols, which can best be defined as concrete representations for things that cannot be easily represented or visualized, have importance in assessing the culture of a setting. Symbols such as mode of dress and the stigmatized physical environment of the principal's office affect the positional authority he is afforded.

Numerous myths, which are beliefs containing elements of both truths and untruths depending on the existing situation, must be viewed for historical value. The most notable myths which surround the principalship center around topics of traditional roles as a result of behavioral expectations, sources of power and control and the quality of training and experience available to the principal.

The information gathered in the pre-genesis stage flows into the genesis stage as questions and concerns are raised about the desired setting. Examples of pertinent questions are: What needs to be altered in the present setting so the principal can function more as an instructional leader and less as a managerial functionary? In what type of environment can the principal most effectively lead? What is of value in the history of the setting that has value for the nascent setting?

During the genesis stage a leader and resource persons are chosen due to their intense interest in changing the principalship. Relationships

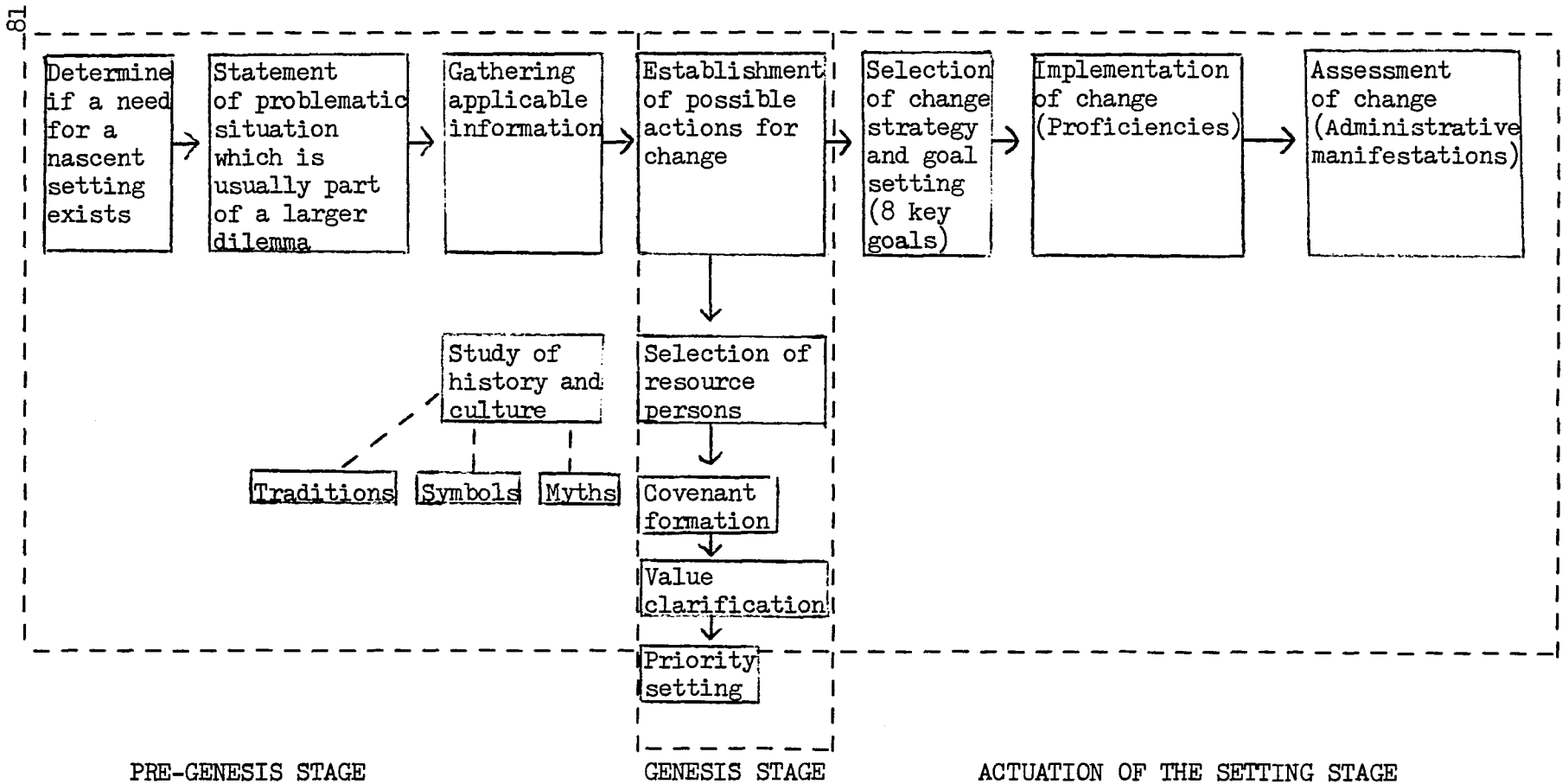


Figure 9

Schematic Design for the Development of Change in the Principalship  
 Based on the Creation of Settings Model in Figure 8

between these key people are developed with each group member being valued for his contributions. There must be free flow of communication and latitude for exchange of ideas among group participants. As a cohesive group they must expect problems and dilemmas to arise but maintain their confidence in being able to solve or reconcile them. |

The results of the genesis stage will produce an in-depth view of possible approaches that can be taken to effect a desirable change for the principalship.

The stage of actuating the setting involves identifying specific goals for establishing the principal as an effective instructional leader. The investigator has identified eight key goals or functional categories in the performance of the elementary school principal as the leader of instruction. While it is the responsibility of the principal to see that the goals are accomplished, he does not work alone. He strives to become increasingly adept at involving group members by using a collegial problem solving approach.

Within the parameters of each of the eight goals there are proficiencies which illustrate types of behavior, which if applied at a quality level can make an appreciable difference in the fulfillment of the goal. Illustrative administrative manifestations of each proficiency are suggested. To indicate that evaluation will be based on the principal's true behavior as instructional leader rather than those things he thinks he will accomplish, the administrative manifestations are stated in the past tense.

CREATION OF SETTING GOALS FOR THE PRINCIPAL  
AS INSTRUCTIONAL LEADER

GOAL ONE: The principal develops school goals and objectives to guide instructional program.

PROFICIENCY 1: The principal assesses the learning needs of youngsters in the school

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal correlated test data of students in the school.
- b. The principal developed learning needs assessment forms to be completed on each student by his/her teacher.

PROFICIENCY 2: The principal develops a policy for establishing school-wide goals for a sound instructional program.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal appointed grade-level committees to determine goals for a strong instructional program and to specify performance criteria for each broad goal.
- b. The principal and a school based committee coordinated the goals from the various grade level committees.

PROFICIENCY 3: The principal articulates the goals and objectives for the instructional program to school-wide personnel.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal presented an in-service program on interpretation of the established goals for the faculty.

GOAL TWO: The principal develops plans for improvement of instruction at the classroom level.

PROFICIENCY 1: The principal assists individual teachers in assessing weaknesses and strengths of classroom instructional programs.

ADMINISTRATIVE MANIFESTATIONS:

a. The principal developed a self-assessment instructional performance inventory for teachers.

PROFICIENCY 2: The principal makes suggestions for the improvement of instructional programs at each classroom level.

ADMINISTRATIVE MANIFESTATIONS:

a. The principal visited in classrooms regularly and worked directly with the children. Afternoon conferences with each teacher followed the visitations.

b. The principal designed and demonstrated the use of a math center in a classroom where a need for independent math activities had been identified.

c. The principal invited each teacher to have lunch with him on an individual basis to discuss his/her instructional program.

PROFICIENCY 3: The principal periodically evaluates the performance of the teacher in accomplishing instructional goals.

ADMINISTRATIVE MANIFESTATIONS:

a. The principal completed the formal evaluation forms required by law jointly with each teacher.

b. The principal wrote informal notes to each teacher complimenting him/her on accomplishment of specific instructional goals.

GOAL THREE: The principal develops in-service training programs to improve instruction.

PROFICIENCY 1: The principal plans in-service programs according to his assessment of teacher needs as well as needs expressed by teachers.

ADMINISTRATIVE MANIFESTATIONS:

- a. Because of the inclusion of metric system skills in the new state adopted text, the principal secured the services of a math consultant to present an in-service training program on teaching the metric system.
- b. At the request of primary teachers, the principal organized an in-service program on correlation of language experience and basal approach to reading.

PROFICIENCY 2: The principal leads in-service training sessions for teachers.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal organized and led a group of teachers in a visit to a demonstration school.
- b. The principal conducted an in-service program on "Individualizing Spelling Assignments for Third, Fourth, and Fifth Graders."

PROFICIENCY 3: The principal encourages members of his professional staff to assume leadership roles for in-service programs.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal developed an in-school visitation program. Six teachers were assigned to observe each of three model teachers at various scheduled times. A list of quality teaching techniques to observe was given to each observing teacher.
- b. The principal encouraged the school's reading teacher to present an in-service program on the diagnosis and intervention of reading problems.

PROFICIENCY 4: The principal guides individual teachers toward self-selection of in-service activities.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal secured necessary funds for a teacher who wished to attend an out-of-state conference on the use of cuisinare rods.
- b. The principal held an interview with each teacher in September for the purpose of cooperatively setting goals and objectives for their instructional program for the year.
- c. The principal helped a teacher returning to school for a master's degree select elective courses based on needs to improve her classroom instruction.

PROFICIENCY 5: The principal evaluates the effectiveness of in-service programs.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal met with individual teachers at mid-year and at the end of the year to determine progress made toward instructional goals set in September.
- b. The principal distributed an evaluation sheet to help teachers indicate which in-service programs were of most value.

GOAL FOUR: The principal designs and directs the selection and utilization of equipment, materials, and facilities to accomplish instructional goals.

PROFICIENCY 1: The principal directs identification of needed equipment and materials to meet instructional goals.



ADMINISTRATIVE MANIFESTATIONS:

- a. The principal and an appropriate committee were charged with the responsibility of selecting library books to reflect the goals and objectives of the school's instructional program.
- b. The principal organized a committee of students who helped make decisions on materials and equipment that would aid them in the learning process.
- c. The principal issued a request for a video-tape recorder to be used in a project aimed at helping teachers improve their instruction.

PROFICIENCY 2: The principal assesses changing needs of students for materials, equipment and facilities to accomplish instructional goals.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal insisted on using those textbooks and materials suited to the learning levels of youngsters in his school regardless of state adopted or system purchased texts.
- b. The principal directed plans whereby teacher groups submitted requests for materials and equipment and justified their requests in terms of expected outcome of teaching.

PROFICIENCY 3: The principal dispenses materials and equipment to accomplish instructional goals.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal devised methods of having materials and equipment located in easily accessible areas with a simple procedure of checking-out.

PROFICIENCY 4: The principal directs the redesigning of facilities to meet instructional goals.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal requested that larger teaching-learning stations be developed by removing selected walls.
- b. The principal developed a "learning closet" by renovating a large storage area into an attractive space for students, teachers, aides, and volunteers to work with youngsters on an individual basis.

PROFICIENCY 5: The principal assists in designing or substituting materials when commercially prepared items are not available.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal organized an in-service program on the production of instructional materials.
- b. The principal introduced "homemade" materials such as picture studies, units of study, etc. as alternatives to overuse of textbooks.

GOAL FIVE: The principal assigns professional staff in an effort to accomplish instructional goals.

PROFICIENCY 1: The principal assists in selection of personnel for instructional obligations.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal hired two new teachers with obvious strengths in specific areas after assessing that weaknesses in these areas were evident among present staff members.

PROFICIENCY 2: The principal assigns or reassigns staff members in order to maximize conditions for meeting instructional goals.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal made teaching assignments according to the expertise, experience and interests of the teachers.

b. The principal reassigned the media specialist to the position of remedial reading teacher because of skills she acquired during summer school sessions.

c. The principal instigated a team teaching situation where the abilities of one teacher would complement those of another teacher.

PROFICIENCY 3: The principal defines the requirements of staff positions according to the goals of the instructional program.

ADMINISTRATIVE MANIFESTATIONS:

a. The principal outlined specific guidelines for special teachers in the area of teaching educable mentally retarded students.

GOAL SIX: The principal harmonizes noninstructional services to accomplish instructional goals.

PROFICIENCY 1: The principal assesses the needs for noninstructional services to meet instructional goals.

ADMINISTRATIVE MANIFESTATIONS:

a. The principal developed a course of action with the school nurse to help remedy health and physical problems that hinder academic performance of students.

b. The principal established a PTA committee to study possible hazards to positive learning. (poor lighting, temperature of room, inadequately sized desks, etc.)

c. The principal coordinated forces with the school psychologist and guidance counselor to provide concentrated therapy services for students doing poorly in academic work.

PROFICIENCY 2: The principal initiates special noninstructional services that indirectly affect accomplishment of instructional goals.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal publicly recognized "good citizens" from each grade level each week.
- b. The principal invited eight different students to eat lunch with him weekly in the conference room for the purpose of building school morale.
- c. The principal wrote personal notes to those students who had shown substantial improvement in academic work for the semester.

GOAL SEVEN: The principal establishes school-community relationships to accomplish instructional goals.

PROFICIENCY 1: The principal explains school policies and procedures of meeting instructional goals to the community.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal wrote a series of four articles for a local newspaper dealing with some aspects of the school's instructional program.
- b. The principal initiated a morning coffee for the purpose of explaining the Primary Reading Program to mothers whose children would be participating in the program.

PROFICIENCY 2: The principal establishes communication with community members in order to assess their feelings about the instructional program of the school.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal developed a written survey to assess opinions of parents regarding the instructional program.

b. The principal invited different groups of parents to lunch periodically to solicit ideas for change in the instructional program.

PROFICIENCY 3: The principal provides adequate feed-back of student academic performance to parents.

ADMINISTRATIVE MANIFESTATIONS:

a. The principal designated four days during the year as parent-teacher conference days.

b. The principal urged parents to cooperatively establish reasonable learning goals with their children.

PROFICIENCY 4: The principal shares with the school staff the feelings of the community.

ADMINISTRATIVE MANIFESTATIONS:

a. The principal shared with community members the results of the survey completed by parents on the school's instructional program.

PROFICIENCY 5: The principal actively involves community members in the instructional program of the school

ADMINISTRATIVE MANIFESTATIONS:

a. The principal developed a resource file of persons in the community who had talents that could be shared with youngsters in the school.

b. The principal initiated instructional field trips to places in the community.

GOAL EIGHT: The principal is continually involved in an on-going process of evaluating the procedures as well as products of the instructional program as an impetus for further change.

PROFICIENCY 1: The principal assimilates and analyzes data concerning the performance of teachers and other staff personnel in accomplishing instructional goals.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal presented a written report to staff members containing a compilation of their instructional activities and experiences engaged in during the year.
- b. Grade level committees were organized to assess if implemented instructional programs were congruent with stated goals.

PROFICIENCY 2: The principal analyzes data concerning the performance of students and makes suggestions for eradicating weaknesses.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal charted student test data and offered suggestions for improvement in deficient areas.
- b. The principal implemented tutorial services for students who continued to score below grade level in math skills.

PROFICIENCY 3: The principal analyzes influences other than teacher influences on learning.

ADMINISTRATIVE MANIFESTATIONS:

- a. The principal developed a graph showing correlations between breakfast eating habits of students in the school and their academic performance.

SUMMARY

Chapter three has presented the reader with eight precautions that must preclude any model building program for the principalship. These

precautions are illustrative of factors that might inhibit reformers from pursuing the construction of a model and nurturing it to fruition.

With these precautions in mind, an analytic and programmatic model for the principalship was presented with three interrelated stages - each stage being dependent on those processes which take place in the preceding stage or stages. Operations in the pre-genesis stage must consider the customs, beliefs and traditions that surround the principalship. Characteristic of the genesis stage is selection of resource persons and involving them in the covenant formation process. Values are explored and priorities are established in an atmosphere of open communication. A psychological sense of community and sense of personal worth are generated among participants. Resultant of the genesis stage is the comprehensive exploration of change strategies, pertinent questions and their resulting answers that will lead to a desired transformation for the principalship. In actuating the setting, specific goals are established and means of achieving these goals are finalized.

Expansion of the base model was accomplished through the presentation of a schematic design to elucidate the flow of processes through the various stages and how each stage interacts with the others.

The usefulness of the model in promoting a role for the principal more as an instructional leader and less as a managerial functionary is viewed by applying the three stages to effect the setting. In actuation of the setting, eight key goals are determined and accompanied by proficiencies which are illustrative of the behavior needed to accomplish the goals. Behavioral manifestations are included to further clarify the proficiencies and assess the quality of change that occurs.

The model proposes that the elementary school principal refocus his thoughts and energies on the responsibility of initiating and leading a strong, vibrant instructional program rather than on a trivialized managerial functionary role. The model can be applied to other problematic situations that might be encountered in the school's operation. The model is also a useful tool for other school personnel in instructional leadership positions in the identification and reconciliation of dilemmas of mutual concern.



## Chapter 4

### SUMMARY, CONCLUSIONS AND RECOMMENDATIONS FOR FUTURE STUDY

In the past decade elementary school principals have come under heavy fire for not being all they should be. They are in the proverbial middle - with superordinate administrative members on one side and parents, students, teachers on the other side. A wealth of literature and expert commentary in recent years substantiate the opinion that elementary principals are negating the responsibility of structuring and nurturing a strong instructional program in the school. Given these allegations the purpose of this investigation was to cast a critical eye on the principalship ensued by the interpolation of an analytic and programmatic model for establishing a setting in which the leader of the school can more effectively serve as the professional leader of the instructional program and less as a managerial functionary. The degree of ambiguity associated with the concept of model mandated an adoption of a lucid connotation to serve the investigator's purpose. Programmatically, the term refers to a figure or pattern graphically illustrating educational ends, means and philosophical underpinnings to support the ends as well as the means.

It was imperative that the model be structured in a manner to function both analytically and programmatically. Because of a constantly changing society the model must incorporate measures by which the established setting for the principal can be analyzed and continually evaluated. To be effective, program analysis must be dynamic. In the planning model and

the schematic design using the model as a base, analysis and evaluation was represented and involved continual examination of each step, feedback to previous steps and consideration of the various capabilities and limitations that influence actions and processes. As a programmatic design for the principalship the model presented necessary guidelines in the form of steps or stages that chronologically lead to the implementation of the desired setting. Contextual considerations are continually recognized in weighing program outcomes.

If the principal is expected to function as effectively as possible in the role of instructional leader, one must consider realistically the problems currently faced and the actual constraints under which he must operate. Consequently, a portion of the investigation has been to identify these influences in the initial chapter of the dissertation. The socio-cultural, organizational and psychological factors that were examined are so pervasive they appear overwhelming. Considered together they severely inhibit the desire as well as ability of the principal to become the leader of instruction in any school environment.

In addition to an analysis of constraints, chapter one was devoted to an explanation of the methodology techniques employed for the study. The methodology for the creation of settings model rests on four basic assumptions that serve this particular investigative process. The first assumption is that the technical approach to research has serious limitations which emphasize the ambiguous nature of impersonal data collection. The second assumption gives credence to the importance of non verbal communication in systematic inquiry. Assumption three emphasizes the importance of

studying the history of any setting before positive proceedings can evolve. The final assumption acknowledged the vibrant relationship existing between analysis and program construction.

Chapter two was devoted to a thorough investigation of current literature related to the professional leadership role versus a managerial functionary role for the elementary school principal.

An examination of the literature revealed a controversy existing over a true interpretation of leadership as it applies to an educational setting. Equal altercation centered around the quality as well as quantity of instructional leadership being exhibited by elementary school principals.

A representative sample of the literature disclosed the mass influences which work singly or collectively to restrict the abilities of the principal. Perhaps the most obvious of these influences is the collective bargaining ranks of teachers on one end of the scale and the principal's exclusion from the administrative team on the other.

According to the literature there appears to be a one to one correspondence between poor preparation programs and paralytic instructional leadership on the part of the principal. Also, selection of principals based on prior successful teaching experience as a priority has been continually disputed. Current movements to secure noneducational personnel for the position of principal have further emphasized the lessened importance being given to the principal's possession of knowledge of instruction and curriculum.

Several professional and bureaucratic organizational models were presented in an attempt to establish a preliminary basis for the actuation

of a settings model. Closely akin were decision making models which deal with rational versus irrational or workable approaches to reaching resolutions concerning the instructional program of an elementary school.

A new model for the principalship was presented in chapter three. The process of model building was approached through the enumeration and explanation of eight essential precautions that must be considered before reformers attempt to structure a paradigm. With the precautions in mind, the investigator proceeded with model building through three interrelated stages. The pre-genesis stage assesses the genuine need or desire for a new setting for the principalship while the genesis stage takes serious action toward covenant formations, establishment of priorities and a thorough investigation of values related to the principal and his position. The final stage actuates the desired setting with goals and objectives firmly established.

The three stages are the key components of actuating a settings model for the principalship. Each stage has exclusive environmental characteristics while also possessing attributes which commonly flow across the stage delineations. No stage in the model is nullified or ever loses its influence. The setting is never static but rather changes as environmental influences are altered. All three stages with their amoebic interaction are essential for the creation of a desired setting.

Applicability of the model was demonstrated by actuating a setting through identification of eight key goals for establishing the elementary principal as an effective instructional leader. The key goals were

accompanied by proficiencies which illustrated the processes and procedures needed to accomplish the goals while administrative manifestations were added as specific assessment measures.

#### SUGGESTIONS FOR FUTURE STUDY

A dissertation should never be considered an exhaustive study of a particular topic. Rather, it is a systematic inquiry that creates something new (chapter 3) by building on the ideas of other scholars (chapter 2). Finally, a dissertation writer realizes his limitations and suggests topics for further study. The following section of this chapter addresses itself to that matter.

1. Future study should include investigations of applying the proposed model to other educationally oriented positions.

With few adaptations it seems plausible to apply the model in actuating a setting for school superintendents. While superintendents are mainly politicalized agents concerned with maintaining policies and procedures coherent with beliefs of their traditional systems, a setting which acknowledged the superintendent as equally consciously acclimated to instructional proficiency would seem refreshing.

The model as proposed would directly relate to curriculum supervisors since improvement of instructional methods, programs and innovations are their prime concern.

The investigator takes issue with current writings which direct the energies of the secondary principal away from emphasis on instructional

leadership. With appropriate alterations the model could be made applicable to secondary leaders affording them the opportunity to embrace such a model and to pledge implementation of it.

2. Future studies should examine the effect the model would have on children in specific school settings.

The elementary principal as a catalytic agent focusing on improvement of the instructional program and consequently optimizing conditions for learning should anticipate rewarding results.

3. Further investigations need to utilize supplementary and complementary methodologies which will refine the present model thus adding to theoretical dimensions of inquiry into the principalship.

Examples of such methodologies are:

- a. Case study approaches that focus on critical incidents in the professional life of the principal and others affected by him.
  - b. Experimental studies that measure principals' attitudes before the model is introduced and again after the model has been implemented.
  - c. Questionnaires which sample large numbers of principals not exposed to the model and compared and contrasted to those principals applying the model.
4. A challenge to educational historians is to develop perfected chronicles in the area of elementary principalships. Although there are numerous histories of education there are limited complete histories of elementary school principalships and curriculum.
5. Future studies should take a closer look at the professional training of elementary school principals as it prepares them to become leaders of instruction as proposed by the model.

Pre-service and in-service programs for principals must be consciously and conscientiously modified to produce and nurture school leaders who give prime priority to a strong instructional program.

Future investigators are encouraged to pursue the preceding possibilities for extended examination of the proposed model.

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