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NAVARINO, NICHOLAS JOHN
A MODEL FOR EVALUATING THE TRAITS OF SCHOOL
PRINCIPALS, WITH PARTICULAR REFERENCE TO
THEIR LEADERSHIP QUALITIES AND THEIR
EFFECTIVENESS WITHIN SPECIFIC SOCIAL OR
EDUCATIONAL SETTINGS.

THE UNIVERSITY OF NORTH CAROLINA AT
GREENSBORO, ED.D., 1978

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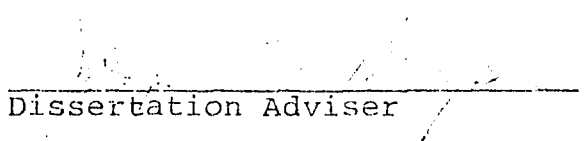
by

Nicholas J. Navarino

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

Greensboro

Approved by


Dissertation Adviser

APPROVAL PAGE

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NAVARINO, NICHOLAS J. A Model for Evaluating the Traits of School Principals, with Particular Reference to Their Leadership Qualities and Their Effectiveness within Specific Social or Educational Settings.

Directed by: Dr. Joseph Bryson. Pp. 174

The purpose of this study is to explore the school principal's personality traits and their impact on his decision-making ability. This effort is undertaken through special consideration of a conceptual model which helps the researcher to view the main problem and its various aspects affected by change within the social setting.

Chapter I gives an introduction to this project by describing the interplay between continuous change and the educational scene. The school principal's role and significance are highlighted from several angles, illuminating his instructional and administrative tasks, and approaching the possibility of gathering data and contributing to the solution of problems through the use of models. These may be of an algebraic or a geometrical type.

In Chapter II, the pertinent literature is reviewed. For practical purposes, this survey is divided into two sections: the first part discusses general problems related to the history of change; this is followed by topical surveys concerning judicial forces, political influence and social as well as philosophical forces. The sequence

of these three realms may be considered arbitrary, since socioeconomic changes often precede judicial or political developments. The second part of the review deals with conceptual models and their treatment in recent literature. Surveys dealing with leadership and decision making have been given special emphasis in this search.

Chapter III contains the presentation of an operational model proposed by this candidate; it consists of two quadrilateral pyramids, joined together at their bases and devised to rotate on a pivot. This arrangement enables the researcher to visualize the principal's main personality traits in juxtaposition to major social forces influencing educators. The applicability of this model in a practical situation is stressed throughout, along with the limitations built into such a construct. The emphasis is on the best approach and adequate input, without which no meaningful results can be expected.

In Chapter IV, the investigator reiterates the findings and evaluates their significance. It appears that such a model may indeed be useful in promoting the researcher's task and inspiring a multifaceted approach to problem solving. The main recommendations call for a continuous refinement of the tool and special care in feeding relevant data into the computer used to handle the calculations on which the results are to be based.

The main advantage of viewing certain problems with the aid of such models is in the realization of how different areas connect, and what kind of data are needed to constitute a sound basis for proper computations. The value of feedback will hinge on an intelligent appraisal of the various forces. A comprehensive bibliography concludes the manuscript.

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This research was initiated after exploration of the role of the principal and his leadership effectiveness within social or educational settings.

Dr. Joseph Bryson has devoted much of his time to helping me clarify the assumptions on which this study is based. As my adviser, he was great in praise for devotion to learning, he has shown great courage in his teaching and he has been a great inspiration to the taught. Without him success would never have been known.

Dr. Dale Brubaker has given me substantial direction and support in developing the scope of the study. Dr. Marian Franklin and Dr. Donald Russell were most generous with their concern and caring and Dr. Dwight Gentry was most willing to cooperate. To all these University of North Carolina faculty members, I am truly grateful for their time and assistance.

Additionally, I would like to thank Chancellor James Ferguson for his willingness to listen and his sense of fairness which made all that has gone before this possible.

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CHAPTER I

INTRODUCTION

Change is a pervasive factor in society, for nothing is absolutely stable. The mutability of man and his institutions has been manifest throughout history, from the ancient Greeks who realized the eternal flux of society, to the exponents of modern sociology who regard stability itself as a temporary rather than a natural societal condition.

As change occurs constantly in varying degrees, society's institutions are altered in form and function. Consequently, the individuals involved in those institutions are faced with changing roles. The realm of education is no exception.

There is little doubt that many changes have taken place in American education, as even a cursory glance at present-day curricula and teaching methods will indicate. Teaching has evolved from the hornbook and the one-room school to a vast system that is designed to meet the ever-changing needs of a growing population and a complex society. As Dale Brubaker describes this situation,

Primary school classrooms attended by our grandfathers allowed for little physical and emotional expression and cognitive activities largely

consisted of memorization and recall. Elementary school educators are presently deluged with methods and materials for curriculum and instruction that allow for greater expression on the part of children.¹

Teaching methods and materials certainly have changed in the wake of technological advances and developments in ideological and economic situations. But these are not the only areas affected. Prior to the invention of the automobile, transportation was not a major issue for schools to consider. In later years, however, it became necessary to take this problem into account, along with the attendant considerations such as purchase of buses, hiring of drivers and scheduling of vehicles. Today, the controversial subject of busing has become a major social issue.

Change has also made itself felt in the area of curriculum. Even if man's fundamental problems often remain the same, the context in which they are presented has altered radically. Curriculum questions such as that of teaching evolution in the schools² were at one time comparatively simple. Today's curriculum, however, must deal effectively with numerous social problems.

¹Dale L. Brubaker, Creative Leadership in Elementary Schools (Dubuque, Iowa: Kendall, Hunt Publishing, 1976), p. 180.

²Joseph Bryson, "Man's Greatest Dilemma: Our Rapidly Changing Society," The Management of Change (Greensboro: University of North Carolina, 1973), pp. 73-74.

At every turn educational administrators must cope with the questions of poverty, racial discrimination, relevance and even with the effects of women's liberation. Implementing change and creating a propitious atmosphere for its acceptance are added burdens for the educational staff.³

In view of the new climate in education, certainly the roles of school administrators are also subject to change. Indeed, they cannot remain static. Perhaps the most significant administrative role in the educational change process is that of the principal, for it is the reformation of the principalship that exemplifies educational reconstruction.⁴

The principal's position has evolved over the years until its present form is barely recognizable in comparison to its early function.⁵ Increased school enrollments in the nineteenth century marked the beginning of a school administrative system comprised of superintendents and principals. The professional status of these

³The Climate for Change: Factors that Foster Adaptability within the School (Bloomington, Indiana: Social Studies Development Center, 1972), p. 14.

⁴John Bremer, "Power and the Principalship," National Elementary Principal, LV (November-December, 1975), 21.

⁵Raymond E. Callahan, Education and the Cult of Efficiency (Chicago: University of Chicago Press, 1965), pp. 52-53.

administrators was then advanced from circa 1900 in an era which saw the advent of increased concern for more efficient management of all sectors, including the education system. The result was a stronger differentiation between administrators and teachers.

The principal rose as an authoritarian figure, whose word was law among staff and students. From the mid-1950's through the decade of the 1960's, however, that role began to be dramatically altered. Just as the curricula were questioned, so, too, was the authoritative role of the principal challenged.⁶

As an educational exponent, the principal of today faces challenges far different from those of just twenty years ago. As a leader he is less the authoritarian figure than a strong force, guiding his school in new directions. The power of the principal has been altered during the previous two decades. The role of the principal in that time is aptly viewed by Theodore Jensen, who writes:

There was little confusion about the authority of the principal of an earlier period. He was the boss. He took orders from the superintendent of schools and from the board of education and he gave orders to the teachers. To a considerable degree he controlled the lives of the teachers and the children, always subject to the controls

⁶Paul Jacobs and Saul Landau, The New Radicals (New York: Random House, 1966), p. 522.

that had been placed upon him. He controlled the curriculum in a similar manner.⁷

The modern principal's function, however, does not make him an object of dread, but it does enable the principal to be an educational leader in the fullest sense of the term. Through the principal's guidance and leadership, new educational objectives can be realized, and the principal is influential in effecting needed changes within the system. Forces at work in modern society have broadened the principal's role, and this process has made the principalship a vital force in education. Schools have become the community's focal point, and they are much more than the place parents sent children to become functional in the three R's. The school/community relationship has assumed increasing importance over the years, since now the educative institution must meet the challenge of the societal changes surrounding it, and, in most cases, it does depend greatly upon the influence of its administration, in particular the principal. Indeed, the very well-being of the school hinges upon effective leadership.⁸

⁷Theodore Jenson and others, Elementary School Administration (Boston: Allyn and Bacon, 1967), p. 106.

⁸Elizabeth H. Wrenn, "The Principal's Turn," National Elementary Principal, LIII (March-April, 1974), 38.

It should be noted, however, that the principal's position is a precarious one. The principalship can be a dynamic force in the educative system or it can be used as a pawn by "the powers that be." Whether innovations will be implemented within the school or the status quo be preserved, whether or not the staff and community can work with the school or whether continuous friction prevails, depends largely upon the effectiveness of the counsel presented by the principal. As Robert Heichberger indicates, the overall direction and operation is the principal's domain.

By virtue of his administrative role, the school principal is in a position to exert positive influence as to the kind of educational program that is offered, or he is in a position to justify the posture of remaining fairly hidden under bushels of administrative trivia, only to appear on occasion to offer a few tidbits of wisdom and retreat to his sanctuary.⁹

Unlike the principal of yesterday whose decisions were accepted as absolute, the present-day administrator is in a position to collaborate with his staff, and even with the community at large, in the implementation of changes in methodology and curricula and in the formation of the school's role in society. Indeed, effective leadership depends greatly upon this type of cooperation.

⁹Robert L. Heichberger, "Creating the Climate for Humanistic Change in the Elementary School with Principal as Change Agent," Education, XCVI (Winter, 1975), 106.

The role of the principal as perceived by the individual in that administrative position is often at variance with the expectations of the board of education, the school staff and the general population. Restructuring of education and even the leadership itself are the responsibility of everyone involved in the educational process, with the principal serving as catalyst and counsellor.¹⁰

Recent studies, in fact, have indicated that the educational environment and societal expectations for the school administrator have a greater influence on a principal's behavioral patterns than the individual's own personality. Rather than acting as master, setting the stage for staff and students as the principal of the past has been viewed, the new executive of a school has emerged trying to comply with conditions, taking into account the influences within the school district and adapting to them even when they are not compatible with the principal's own personality.¹¹

But in doing so the principal can gradually achieve effective leadership. Again, working with the staff as a

¹⁰Harold J. McNally, "The Principalship: A Shared Responsibility," National Elementary Principal, LV (November-December, 1975), 28.

¹¹Thomas W. Wiggins, "What's in the Script for Principal Behavior? . . . ," Address at National Association of Elementary School Principals Annual Convention, Cleveland, Ohio, April 17-22, 1971.

leader among peers as opposed to being a taskmaster supervising employees, the principal can be instrumental in creating the "atmosphere of total learning" within the school. Cooperation rather than ordering can be most beneficial, as Daniel Myers suggests:

This kind of environment will free teachers to pursue the goals and commitments they have for children unhampered by restrictions. A good principal supervises through conversation, questions, discussions and participation, permitting those who work with him to grow and learn.¹²

The principal's ability to work with various groups, in addition to teachers, is a significant factor in determining the effectiveness of his leadership. Possessing this ability is particularly important for the modern school executive, who in an increasing number of situations functions as a mediator, whether between the administration and teachers' unions, as a community liaison, or as a middleman between the staff and board of education. Leadership, as has been suggested in several pertinent studies, is often less a matter of personality traits than it is the ability to develop a working relationship between group members. Stogdill's investigation of this subject indicates:

¹²Daniel B. Myers, "A Principal Characterizes a Good School," The National Elementary Principal LIV (November-December, 1974), 75.

Leadership is not a matter of passive status or the mere possession of some combination of traits. It appears rather to be a working relationship among members of a group, in which the leader acquires status through active participation and demonstration of his capacity for carrying cooperative tasks through to completion.¹³

It appears that at last the principalship which has evolved during the past two decades would favor individuals serving in this capacity, thus enabling the principal to play a key role in educational change. It is unfortunate, however, that past experiences derived from yesterday's type of administrator have not always prepared each executive to accept the challenges of today.¹⁴

The role of the principal certainly has changed from its past conception, and it must continue to change today if the administrator is to meet the demands placed upon him by a dynamic society and evolving situations. Many of the problems facing the principal now were unheard of years ago, and today he is confronted by situations far more complex than they once were. In the past, for example, the teacher was expected to be circumspect in his behavior, and the principal was a driving force in

¹³ R. M. Stogdill, Personal Factors Associated with Leadership: A Survey of the Literature," The Effective School Principal (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1963), p. 71.

¹⁴ Seymour B. Sarason, "The Principal and the Power to Change. Chautaugua 1974: The Remaking of the Principalship. The Human Texture," National Elementary Principal, LIII (July-August, 1974), 50.

assuring that proper attitudes were maintained; neither ever dreamed that forces such as teacher militancy and unionization were to come. Students' rights and increased community activism in school policy making were also unheard-of issues less than a generation ago; but they are among the most powerful issues that now face the school executive. No longer can the principal rely on the authoritarian role as a tool to implement changes. Instead, the principal must utilize effective leadership in cooperation with others to achieve the transformation of new policy decisions from theory to practice.¹⁵

Today, the American public is making unprecedented demands on our public schools. Weak, indecisive leadership will no longer suffice. The leader at the helm of our elementary schools of the future must have a far greater understanding of his community members.¹⁶

Despite Heichberger's specific reference to elementary school principals, the implications do not differ for the secondary school administrator. In many instances, good public relations assume growing significance. In all cases, the principal must be willing to accept responsibility and to delegate responsibility as well. The

¹⁵William L. Garberina, Sr., "The Principal as Powerbroker" (paper presented at the Annual Meeting of the American Educational Research Association, Washington, D.C., March 31-April 4, 1975).

¹⁶Heichberger, op. cit., p. 107.

principal cannot remain, as in the past, a middleman who enforces the policies of the board of education and of the superintendent, and arbitrarily inflicts them on staff and student. As a leader, the principal's responsibility is to encourage others in creative decision making and the achievement of specific educational goals, utilizing his authority to see that goals are accomplished without ignoring the contributions of his staff.¹⁷

William Wayson describes a conception of this "new breed" of educator:

[The new administrator] tends to ignore some of the mythological limits imposed on administrators by narrow interpretations of the law, policy, tradition, or senatorial courtesy. He exercises a judicious use of administrative power.¹⁸

Sometimes his demands are inflexible, while in certain situations he may seem to be democratic and humane. It would appear, then, that the modern principal is a combination of both old and new elements, influenced not only by changing conditions in his own time but also by his past role, which was, in turn, affected by conditions prevailing during an earlier period. These past influences and current changes confronting the present-day

¹⁷William W. Wayson, "A New Kind of Principal," National Elementary Principal, L (February, 1971), 13.

¹⁸Ibid., p. 14.

administrator are significant in determining the challenge of the future.

On the basis of the foregoing observation, there is little doubt that the role of the principal as an educational leader undergoes change as do other elements of society, and that role is affected by many factors, including judicial decisions, societal changes, and even the political element. Specific forces of change and the ways in which they affect the principalship will be examined in subsequent chapters.

Perhaps the most advantageous method of determining the role of the principal as it has been affected by change and how it will evolve in the future is through the utilization of a model. Although a later section of this study will deal with the model theory itself in more detail, the purpose of model utilization should be noted at this point.

There is a growing trend towards usage of models for they enable the researcher to study singular aspects of a problem or object, as well as composite features of its components. Complex systems, as well as complex data, can be broken down into various substructures for better understanding and improved accuracy. Experimentation with

models also enables the researcher to better determine results with different sets of variables.¹⁹

As our society and its institutions grow increasingly complex, the model, often used in conjunction with the computer, offers a more flexible way of dealing with large amounts of data and with the more intricate problems we encounter. Many corporations, in fact, have turned to the simulation model in an effort to aid in long-range planning attempts and in determining the total effect on the organization of variables in corporate marketing, production and financial areas.²⁰

Appropriate models permit the presentation of an abstract concept or an intangible entity, and experimentation with a model enables the researcher to test theories that would be difficult to investigate with the actual concept. Models are also useful when the object studied is physically or numerically beyond range or impossible to grasp first-hand. A good example is the common classroom globe, a simulation of the earth for students to view and an invaluable aid in teaching about something impossible

¹⁹ Ralph Thomlinson, Sociological Concepts and Research (New York: Random House, 1965), pp. 118-19.

²⁰ Thomas Naylor, "Corporate Simulation Models," Behavioral Science, VI (1961), 139.

to actually bring into the school.²¹

Models are utilized in social sciences in much the same way, presenting a given situation and testing selected ideas, behavioral theories, or statements about reality in that condition. They are an invaluable aid, as Thomlinson indicates:

Models offer both direct and indirect benefits. They contribute to understanding by organizing data into coherent systems . . . They test old theories and suggest new ones. If successful, they explain interrelationships between independent and dependent variables and ultimately lend themselves to prediction.²²

Increasing awareness of the value of these devices especially of mathematical models which may be used with computers, have made them a primary tool of researchers. H. Simon, a noted researcher, states:

Formalization of the systems in which highly rational and individualistic behavior is postulated has already reached a point of development where mathematical theory is displacing literary theory on the frontiers of research.²³

Models can also be of value in educational research, wherein, for example, a simulated school situation based

²¹Robert M. W. Travers, An Introduction to Educational Research (New York: Macmillan Company, 1964), pp. 21-22.

²²Thomlinson, op. cit., p. 119.

²³Herbert H. Simon, "Some Strategic Considerations in the Construction of Social Science Models," Mathematical Thinking in the Social Sciences, ed. Paul F. Lazarsfeld (Glencoe, Illinois: Free Press, 1954), p. 414.

upon statistical data can be constructed and the impact of variables can be tested upon it. Administrative models may also be constructed and scrutinized in various situations, utilizing a number of factors.

Such an approach is used in an increasing number of areas. As Travers states, "The usefulness of a model is shown in the quality and value of the research it stimulates."²⁴ It is hoped that the specific model presented in this study will prove to be a useful one. It is to be discussed in the following pages, while a further chapter will examine various aspects of principals' traits and functions, as encountered in a systematic review of the pertinent literature.

Educational Variables and Their Quantitative Treatment Through Models

This section deals with the problems of constructing models in the field of education. Actually, the issues presented herein should be viewed with the understanding that Chapter II is going to discuss the present-day changes affecting educational administration in general and the position of the principal in particular, while its second part will introduce some review models, in order to clarify their roles and functions.

²⁴Travers, op. cit., p. 24.

Perhaps some of the statements made in this section may require further elucidation; while most information should be self-explanatory, the discussion contained in the next two chapters will deal with the essentials of societal changes that have affected the educational scene in the United States during the past few decades,²⁵ as well as the characteristics of models and their role in present-day research. Thus it is hoped that most of the issues here discussed will be found intelligible, while the few details that may be in need of further explanation will be provided in the subsequent pages, thus making the pieces fall into place, so to speak.

The first requirement for building any model is to express all its factors and variables in a quantitative manner. For instance, in everyday language we may say that the proportion between students and instructors must be adequate. But if we want to express such a ratio as a component of a model, we have to be more specific. A table illustrating this particular concept should read like the one on the following page. These figures may not always be correct, but they can be easily handled, and if necessary, they can just as easily be modified to fit different situations.

²⁵Bryson, *op. cit.*, p. 74.

Table 1

Ratio of Students to Instructors in a School

A. Ideal ratio	12 students to 1 teacher
B. Good ratio	18 students to 1 teacher
C. Satisfactory ratio	25-30 students to 1 teacher
D. Inadequate ratio	over 30 students to 1 teacher

For instance, the preceding table may be varied according to the specific subject involved. Let us assume that we are concerned with Art Instruction; here the teacher would have to spend more time with each student than, say, in American history, since individual attention is needed for each pupil in every art class. The ratios could simply be adjusted by allotting 25% less students to each class, but otherwise keeping the categories intact. These figures can then be fed into a computer and operation with such variables can immensely speed up the solving of problems.²⁶

In cases involving the principal and other administrators, similar proportions can be established and numerically expressed in the form of charts. Suppose we are concerned with the type and number of assistants and

²⁶Simon, loc. cit.

other collaborators that a principal's office may need in order to function properly. Such a table could tentatively read as follows:

Table 2
Ratio of Students to Administrative
Personnel in a School

Number of students	Deans of Students or principal's assistants needed	Secretaries needed	Technical assistants needed
200-450	1-2	2-4	1-2
500-950	2-4	4-6	2-3
1000-2000	4-6	6-8	3-5

Here, the quality of the ratio could be indicated in percentages, specifying that in the above table the first of each pair of figures expresses a tight proportion; the second of the figures, a generous ratio; and the in-between value, the average number of collaborators needed.

So far, there is no difficulty in constructing such tables since the figures involved represent actual numerical concepts. We are talking about so many students per instructor, or so many secretaries needed for running the affairs of a school smoothly, according to the number of students enrolled. But what about situations where

personality traits or mental attitudes are involved.²⁷

In these cases, such concepts will have to be quantified. It must be remembered that the only language understood by computers is made up of numbers, and the data must be reduced to that idiom. But why are we so deeply concerned with electronic computers? The answer is simply that while each table in itself could probably be handled just as well (and almost as fast) by a person with average mathematical skills, most situations involve more than one chart, and rather frequently they require a comparison between values from hundreds of tables. Here a mental approach to such operations would be practically impossible.

Suppose a principal writes to his superintendent to obtain approval of his request for an additional secretary and two more deans of students. His application shows that in comparison to the previous years, the number of students enrolled in that school has increased by 30% only. This growth pattern in itself would hardly justify the addition of such personnel. However, it is also stated that, due to the influx of new enrollees from several adjacent communities, that the actual number of slow learners has grown by approximately 17%.

²⁷Brubaker, op. cit., p. 168.

This condition will make it necessary to increase the number of special classes for these exceptional students, and/or to improve the ratio between pupils and teachers, since experience has shown that in many borderline cases it may be preferable to do just that, avoiding the transfer of students to a slow learner's unit which always seems to have a stigma attached. In this situation, the Department of Education will have to study similar conditions in other schools with such problems, and the Board of Education of the community will certainly request strong evidence supporting the need for additional personnel before approving the increased expenses and allocation of funds for these employees that may in turn require them to pay additional taxes.²⁸

Now coming back to the treatment of personality traits or psychological factors in computer languages, it must be emphasized that the use of charts involving these variables is becoming more frequent. Let us assume that the superintendent of a certain county is to nominate a principal for a new facility just completed at the cost of 12 million dollars. He has knowledge of three excellent candidates for such a position, but his suggestions will have to be accompanied by strong, well-founded rationales.

²⁸ Ibid., p. 93.

He will have to scrutinize the files for several factors: years of experience of each nominee, size of school at which he (or she) is presently employed, rating in terms of academic status, key personality traits, etc.

Let us also assume that the model to be constructed attempts to rate principals on the basis of the following traits: compatibility (in the judgment of peers and dependents); relationship with superiors (as viewed by the Department of Education, superintendents and heads of local Boards of Education, although technically these may not be superiors); and finally, popularity rated by students and their parents. Each of these traits may be charted in a separate table, but sometimes it might be preferable to combine them into one chart.

Here is a greatly simplified arrangement for such a card:

<u>Name of Principal</u>				
Date of Birth	Presently employed at			
<u>Traits</u>	<u>Excellent</u>	<u>Good</u>	<u>Average</u>	<u>Poor</u>
Compatibility	1-3	4-6	7-8	9-10
Relationships with superiors	1-3	4-6	7-8	9-10
Popularity with students and parents	1-3	4-6	7-8	9-10

It would be preferable, though, to establish a separate chart for each one of these traits, breaking them down into various aspects; for example, a poll with pupils and their parents may indicated that a certain principal is feared (and somewhat disliked) by pupils, while he (or she) may be respected (and therefore liked) by most parents. On such a chart different values would have to be assigned to each of these conditions, by breaking down these variables into subheadings.²⁹

The model suggested in this study would also provide a key (or index) for each chart, which would determine its value in a typical rating. Of course, these indices need not be fixed. For instance, in analyzing individual candidates in connection with pay raises, their popularity with students could rate somewhat lower than their profile viewed by their Board of Education. On the other hand, requests for transfers may entail a closer look at the popularity rating by students, the reasons for possible negative traits, a comparison between the student body of the present school and the one to which transfer is requested, etc.

Finally, it may be possible to introduce the element of time into the construction of such charts. For example,

²⁹F. E. Fiedler, "Leadership--A New Model," Discovery (April, 1965), p. 273.

we could break down the table concerning each principal's compatibility as rated by peers, teachers and employees, and view it in the light of the changes that it has shown over the past three to seven years. If we find that little has changed during the past four polls or surveys, we may conclude that this administrator has a fairly stable personality. On the other hand, a steady improvement, especially with a younger person, may indicate a favorable element in this picture, qualifying such a candidate for horizontal or vertical promotion (i.e., to a larger, more prestigious school, or to the position of superintendent, inspector, etc.). The time element gives each chart a third dimension, and makes the entire model more meaningful.³⁰

Generally speaking, it would be difficult to suggest one specific model for all educational situations, even when limited to the principal. There are too many factors and variables that have to be considered before deciding on the prototype for such a model. The purpose and setting of the administrative unit that requires these models must be taken into account. Are the charts meant to pinpoint candidates for supplying personnel to an

³⁰R. L. Meir, "Exploration into the Realm of Organizational Theory: The Simulation of Social Organization," Behavioral Science, VI (1961), 232.

expanding school system? Are they needed to revamp the education offices in connection with centralization projects or possibly with decentralization plans? Each situation will inspire a different design and can influence the type of model to be constructed.

A glance at all the variables and their countless interrelationships proves that a file card or employment sheet for each administrator, principal or teacher, as normally kept in the educational offices, is certainly inadequate, while a bulky dossier with the life history and accomplishments of each subject would be too cumbersome. Models are needed and have proved over the past few decades to be valuable tools. The more flexible they are, the better they can serve a specific purpose.

The data to be entered on each chart of a model will come from different sources, while official surveys made by the authorities will usually be based on the files of each administrative unit involved, researchers and private individuals may have to conduct their own polls to obtain suitable up-to-date figures to work with, since normally they have no access to the files of the schools systems. In some cases they may even need permission for the superintendent or the head of each unit to conduct such a poll, if the public interest is not obvious, or if questions of privacy could arise.

This information should enable the researcher to devise an appropriate model for assessing traits and leadership qualities of the principal, provided that data included in Chapters II and III are utilized as well. Needless to say, even the most advanced computer and the best model will require an adequate number of equations to solve problems with several unknown factors.

CHAPTER II

REVIEW OF LITERATURE

The present chapter consists of two distinct sections: the first part (A) surveys the societal factors and other forces that have affected educational institutions and changed the way people think about teaching and learning. The second part (B) is to review the use of models with particular reference to personality traits of educational administrators and their leadership qualities affected by such traits.

The investigator is well aware of the fact that the two sections frequently overlap. While on the surface these areas may not appear closely interrelated, during the course of researching this project, it has been found that the points in common between the respective parts are more numerous than anticipated. First of all, prior to 1950 neither personality traits nor their impact on decision making were major topics for scholarly investigations. It was probably known that some principals were better suited to fill their positions effectively than others, and it may have also been assumed that personality had something to do with a given situation. However,

the authorities were probably reluctant to exclude an educator from the post of principalship as long as his credentials would qualify him for the task, just as no teacher with a morose disposition would be specifically excluded from being hired for classroom services as long as he (or she) had a valid license, and a position was available in his (or her) specialty. During the past two decades the approach to such problems has definitely changed, although there are great differences between the practices in various geographic locations, school boards, etc.

The increasing use of models in the social and behavioral sciences was probably also stimulated by the realization that, in certain roles, some people function better than others, even though both may hold similar credentials. A comparison between personality traits, qualifications and other factors is often possible (or at least greatly facilitated) through the use of a formal model, whether it calls for affirmation through a computer or not. Again, these insights and their technological bases have been introduced during the past twenty-five years, and for practical reasons they show a tendency to emphasize the personality angle when dealing with behavioral problems. As a consequence, the sources themselves frequently deal with the two aspects of the

present investigation, and therefore it has not been found possible at times to follow the dividing line between the two sections. However, it will be useful to separate the search itself whenever feasible.

Section A: Forces Bringing About Change

The dynamics of progress involve complex phenomena, and researching their interplay can be attempted from a variety of directions. Whether the viewpoint is technological, ideological, or societal, however, the change factor is perpetual, and man in his setting is ever faced with the problem of adaptability. As Bryson states:

It does not matter when or where one puts man in motion--950,000 years ago, 1,850,000 years ago or even earlier, man's greatest dilemma has always been his rapidly changing society. "Things" never remain the same--yesterday's ideas and issues have little relevance today. Today's approaches have little or no validity for tomorrow. Yesterday's solutions have negligible validity for today's problems--today's solutions . . . have little absoluteness for tomorrow's issues.¹

Man and his institutions must then adapt, i.e., they must also change, whether to meet the needs of societal developments or because mutating conditions force adaptations for survival. Change, therefore, is necessary. Admittedly, our society has altered much over the

¹Joseph Bryson, "Man's Greatest Dilemma: Our Rapidly Changing Society," The Management of Change (Greensboro: University of North Carolina, 1973), p. 61.

years--requiring, even compelling, reactions in many areas, and the need for change has been felt greatly in the area of education.

When speaking of educational development, one is again dealing with a complex process even within the topical aspect of adaptation. Educational change encompasses not only formal instruction at the primary and secondary levels, but also the learning processes from preschool, in fact from infancy, to concepts in adult education. Herein, however, the discussion of educational change is limited to its effects on primary and secondary formal levels, which include changes in the learning processes, curricula, materials, teaching and teachers, and administrative areas; more specifically, the concern of this study is to discern the role of the principal as a correlative agent.

Although the process is thus limited, it is necessary to comprehend an aggregate of pertinent factors because educational change does not simply begin and end with the individual. Brubaker observes:

Many of those who write about educational change feel that it should begin and continue with the person or individual. That is, their writings sound as if the person exists in an organizational vacuum or they indict organizations to

such an extent that the individual is painted as either helpless or the hero who can with one fell swoop destroy the bureaucracy.²

The limitations of the human potential or encounter movement are often neglected or ignored.

Personal development is definitely a factor, but only one. To comprehend needs of a changing role, the principal must have an understanding of the educational process in all its facets. Bernard Spodek, in discussing innovations in education and the administrative role, clearly indicates the need for comprehension of factors that influence this sphere. Indeed, according to Spodek, the successful principal must develop that knowledge.³

The principal's position in this kind of change is rather unique. As an educational leader his role is subject to the impact of various factors, but also, as a leader, the principal can be an innovator, an agent of change. Very often, in this capacity it is the principal himself who alters that administrative role. Thus, the principal can cause change to occur while also being affected by same.

²Dale L. Brubaker, Creative Leadership in Elementary Schools (Dubuque, Iowa: Kendall, Hunt Publishing, 1976), p. 20.

³Bernard Spodek, "The Pressure to Conform," National Elementary Principal, LIII (May-June, 1974), 18.

It is a significant aspect of this process that "change necessitates change," and it is difficult to resist this chain reaction and remain effective. There are always those who question the advisability of innovation and look askance upon any rupture of the status quo, even to the point of attempting to block progress, particularly in organizations. Society, however, is mutable, making demands on the individual and group to adapt and meet those requirements. In essence, change requires the individual and the group to improve.

In educational matters, as Robert Sinclair indicates, administrators must be aware of the circumstances that prevent change. Change must be visible, lest the impression remain that schools do not improve, and the administrator must not be blind to the necessity of innovation when it occurs.⁴

Nelson and Besag note that effecting change within an organization or institution, such as in the schools, is a difficult task but not an impossible one.⁵ One method in this direction occurs when conditions are ready for

⁴Robert L. Sinclair, "The School and You: Critical Awareness for Improvement," National Elementary School Principal, LV (March-April, 1976), 57.

⁵Jack L. Nelson and Frank P. Besag, Sociological Perspectives in Education (New York: Pitman Publishing, 1970), p. 33.

progress, i.e., when change is acceptable and the climate is right. When conditions are such, it is not the individual who effects change in actuality, but rather acts as a catalyst. Often, as in many corporations, a new person is brought in specifically to effect those changes that others, bound by the status quo, cannot initiate.

Heichberger upholds this view and cites a favorable environment as one of three elements necessary for effective change to take place within the school. Otherwise, without an acceptable climate for change, the school will fall short of progressive change. Heichberger states:

An environmental climate for social change is a must for projected school programs to succeed. If the faculty and community can perceive a need for change, if interaction is nurtured, and if the necessary resources for new programs are provided, change can occur. When these three components are utilized in a given school system, change will take place. If any one of these elements is missing, lasting and constructive change is less likely to be a part of the nature of that school situation.⁶

Another method of alteration, according to Nelson and Besag, occurring within the organization is to persuade other members of the group that change is desirable. The person seeking innovations of this sort must be adept at determining what type of change and how much of

⁶Robert L. Heichberger, "Creating the Climate for Humanistic Change in the Elementary School with Principal as Change Agent," Education, XCVI (Winter, 1975), 106.

it is acceptable to the group in order to succeed.⁷ In this situation Reller perceives the principal thus:

. . . administration involves the capacity not only to coordinate but also to stimulate and involve various parties (though recognizing the right of parties to choose to not be involved).⁸

Heichberger adds that the unity of the organism sought must not interfere with personal need; interaction among group members is also necessary in creating that climate which permits change to occur. Alteration will not occur in the school unless there is a correlative change among the individuals in the human relations structure. Group relations have a significant effect on the group leader's ability to initiate innovative steps.⁹

Gibb further indicates that the situation is itself a variable, which would attest to the fact that the administrator should be aware of what direction change might take. Working thus within a group situation as the administrator does, encompasses a number of factors. Gibb lists several basic elements of this configuration and notes:

⁷Nelson and Besag, loc. cit.

⁸Theodore L. Reller, Educational Administration in Metropolitan Areas (Bloomington, Indiana: Phi Delta Kappa, Inc., 1974), p. 83.

⁹Heichberger, op. cit., p. 110.

The situation is especially liable to modification through changes in interpersonal relations, the entrance of new members and the departure of others, change in physical conditions and the like, which alters possibilities and consequently the perceived probabilities of goal attainment or assessments of costs.¹⁰

Rudolph Johnson, in a study of educational influence and decision making, found that principals, as well as teachers, felt more influential in instituting changes concerning policy formation and decision making in those schools where there was greater staff/administration collaboration.¹¹ Working as a group and making joint decisions created a more positive environment and better interaction between principals and teachers.

Nelson and Besag, again, offer a third type of change condition, which is extremely effective in the implementation of developments but is somewhat unusual. Rapid change can occur when the number of new members of an institution exceeds that of old members. Change at that time is usually massive, affecting the very makeup and structure of the organization.¹²

¹⁰C. A. Gibb, Leadership (Middlesex, England: Penguin Books, 1970), p. 15.

¹¹Rudolph Johnson, "Teacher Collaboration, Principal Influence, and Decision Making in Elementary Schools," Technical Report No. 48 (Stanford, California: Stanford Center for Research and Development in Teaching at Stanford University, June, 1976), n.p.

¹²Nelson and Besag, op. cit., p. 34.

When this condition exists, it may call for what Brubaker terms the "Second-order change strategies."

Brubaker states that:

Second-order change strategies are directed at making massive changes within a system. In fact, an implosion is considered desirable; the strategist is expected to create the conditions in which the person can set aside present ways of viewing things and involve himself/herself in reconceptualizing goals (educational ends) and processes (educational means) and their relationship to each other.¹³

First-order change strategies by comparison would be more likely to be utilized under Nelson and Besag's first two conditions; that is, when the organization is ready for some type of alteration or when the individual guides the group toward a new direction they may be inclined to take. As Brubaker explains:

Advocates of first-order change strategies assume that the system within which the strategies will unfold is at best a good system and at worst a saveable system. The role of the change strategist is defined as that of a rational planner and facilitator. The change process itself is perceived as evolutionary.¹⁴

According to Cook and Mack, the second-order change would appear essential in the implementation of certain steps in the school. The strategist is the principal, whose role should be altered from administrator to

¹³ Dale L. Brubaker, Two Views of Educational Change Strategies (Greensboro: University of North Carolina, n.d.), p. 5.

¹⁴ Ibid., p. 2.

coordinator. Educational change often requires totally new concepts with the primary function of the school being education. This does mean massive change, complete re-establishment of educational directions. It becomes the principal's task to work with groups to implement these steps, and pull together all the diverse elements of the organization toward the major goals.¹⁵

Heichberger as well sees the principal as the primary force in implementing change. Heichberger writes:

The leader or principal, acting as the chief accountable change agent, is the main component. He must be a participating member of the instructional staff and a catalyst in initiating the updating of current programs. He must keep himself and his staff abreast of current research in education.¹⁶

In brief, he must be an effective manager of teaching and learning, and a skilled human relations expert. A fourth and final method of change, according to Nelson and Besag, is external change, which may occur due to forces operating outside the institution and thereby causing alteration within. The authors explain:

Here the society in general, or at least that portion of society which is in significant

¹⁵Ann Cook and Herb Mach, "Educational Leadership: A Trans-Atlantic Perspective," National Elementary Principal, LIII (May-June, 1974), 15.

¹⁶Heichberger, op. cit., p. 112.

contact with the institution, changes emphasis and thereby insists upon change within the institution.¹⁷

Societal and cultural changes are significant factors in the process of educational change. For example, during the past two decades there has been a growing emphasis on science education. Even the most staid of institutions find it difficult to resist the forces of cultural progress imposed upon them. The advancement of technology in our society has influenced not only materials, curricula, and teaching methods but the very idea of the learning process. To cite just one aspect of technological change, we find the media exert serious influence.

Technological advances in media, particularly with the introduction and refinement of television, have affected our attitudes by involving more of our sense. Television also provides the viewer with an immediacy and closeness with respect to time, place, and situation.¹⁸

As society is altered, it becomes more complex, as has been pointed out earlier. In order to deal effectively with that complexity, society must become more organized, so to speak, and horizons must continue to grow at a remarkable pace. Thus, one sees a growth of organizations,

¹⁷Nelson and Besag, loc. cit.

¹⁸Brubaker, Creative Leadership, p. 10.

an expansion of bureaucracy. Many of the functions of these groups are becoming more and more professionalized, and officials are seeking more and more organizational support. Studies have indicated that professionalization is growing at an unprecedented rate, placing an ever increasing number of such executives in positions of organizational power.

To the process of education, these changes mean the principal is no longer the sole professional in the organization. That is, the administrator can no longer exert the authoritative rule once held by virtue of the fact that the administrator alone was a professional. Teaching has become a full-fledged profession as well, with teachers having a higher sense of self-esteem, and a greater feeling of power which requires their cooperation in implementing change.

Parson indicates:

Comparative study of the social structures of the most important utilization shows that the professions occupy a position of importance in our society which is, in any comparable degree of development unique in history.¹⁹

The group leader, in this case the principal in the school, does not, then, implement change by sheer force of

¹⁹Talcott Parson, "The Professions and the Social Structure," Social Forces, XLVIII (May, 1939), 457.

the position. In fact, Hollander notes that as circumstances change, nearly all members of a group may be influential over the other members at some time.²⁰

Internal power struggles in the educational organization are the result of a mutating society, as Garberina observes. Implementation of policy and reorganization are dependent upon the relationship between the administrator and the staff, which is greatly affected by changes in the external social structure. For example, in the past the principal was largely responsible for overseeing teacher behavior, within the school and away from it, and the principal exerted pressure on the staff. Today, not only does the principal not dictate teachers' behavior in private life, it is the principal who is subject to pressure in view of increasing teacher militancy and unionization.²¹

Today, it is certainly valid to assume that the changing power structure is due to outside forces of societal influence. Blumer describes the relationship thus:

²⁰E. P. Hollander, "Emergent Leadership and Social Influence," Leaders, Groups and Influence (Oxford: Oxford University Press, 1964), p. 274.

²¹William L. Garberina, Sr., "The Principal as Powerbroker" (paper presented at the Annual Meeting of the American Educational Research Association, Washington, D.C., March 31-April 4, 1975).

There is ample evidence for believing that modern society has a distinctive character which sets it apart from earlier societies. It is massive in scope, highly heterogenous in composition, endowed with intrinsic pressures toward transformation, and confronted with ever-shifting world to which it has to adjust.²²

Society, in its struggle for altering the structure, exerts great pressure for change to occur, being itself constantly in flux. As Bryson states, ". . . there is nothing but society in motion on an infinite physical universe . . .".²³ This force, perhaps more significantly than any of the other factors mentioned, is responsible for the necessity of change in education and consequently in the principalship.

It is the diversity of society that accounts for change, and in educational issues that diversity which must be accounted for. For the schools to improve, even to survive, the principal must assume the role of change agent to effectively meet the diverse needs of society.²⁴

Whatever necessitates change, whatever method is utilized in its implementation, it remains for the principal and others to reexamine the administrative role,

²²Herbert Blumer, Professionalization, eds. M. Vollmer and Donald L. Mills (Englewood Cliffs, New Jersey: Prentice-Hall, 1966), p. xi.

²³Bryson, op. cit., p. 62.

²⁴Roland S. Barth, "Is There a Way Out?" National Elementary Principal, LIII (March-April, 1974), 13.

subjecting it also to the forces of alteration. As Shuster indicates, the principal must seek and accept more control of the schools' destiny, and must, therefore, change.²⁵

Judicial Forces

Laws and their judicial interpretation aid in adjustments to the process of change, as well as effecting change in society. Certain laws such as the Social Security Act, the Fair Employment Practices Act, and the National Labor Relations Act were designed to help society meet the changing needs of its people. Judicial interpretation adapts laws to meet current situations and determines the scope and function of laws as changes occur.

Judicial decisions change customs, subject people to behavioral change and affect the operation of organizations and institutions. They subject many aspects of our society to control, and institutions must operate within the framework of that control. Institutional leaders must also make the decisions affecting the operation of their respective institutions within legal boundaries. Corwin and others indicate how this relates to the respective process in education:

²⁵ Albert H. Shuster, "Going It Alone: The Autonomous School," National Elementary Principal, LIII (March-April, 1974), 54.

Effective decision making is the product of considerably more than intuitive feelings of sensitive administrators; it is based on knowledge, experience, and dependable information. Moreover, decision making in educational organizations demands an understanding of the legal aspects of the organization's structure. . . .²⁶

In modern times, judicial decisions on many issues reflect a concern in society for the area of human rights. In the realm of education the schools, and thus the principal, must adjust to changes caused by a growing emphasis on the rights of teachers, students, and minority groups.

The school administrator must be well-versed in legal issues, particularly in view of many recent Supreme Court decisions. Where once the principal was the sole authority on student and teacher conduct, court rulings in many cases have upheld the right to freedom of expression for both teachers and students in the school.²⁷ As Nolite observes in his study, the uninformed principal runs the risk of violating certain rights of individuals if he does not keep abreast of judicial decisions.

Kauss adds that the contemporary administrator, in addition to possessing other leadership traits, must be

²⁶Ronald G. Corwin, Willard Lane, and William Monahan, Foundations of Educational Administration (New York: MacMillan Co., 1967), p. 143.

²⁷M. Chester Nolte, ed., School Communications: Duties and Dangers: A Legal Memorandum (Washington, D.C.: National Association of Secondary School Principals, April, 1974), p. 6.

decisive and courageous. In yesterday's schools a crisis situation may have been provoked from public pressure by a teacher's skirt rising too high, racial problems, reduced power, and teacher militancy.²⁸

Modern society also finds people more well-informed, and public awareness of the issues has put increased pressure on the schools and their administrators to comply with changes. Whereas in the past, parental involvement in school/student questions was almost always limited to acquiescence in school authority, any controversy today brings many parents to the administrator's office to determine if the child's rights have been violated. The community which previously concerned itself with the school only to the extent of fundamentals (e.g., can a child read and what percentage of the graduating class is going on to college), is now taking sides on educational issues from desegregation to teachers' rights. The principal now finds his role appreciably altered.

Campbell and his associates note the principal now holds a unique position:

The individual school is the center for all teaching and learning. In any given neighborhood the effectiveness of the local school may be the criterion by which people judge the effectiveness of the entire system. Hence, the

²⁸Theodore Kauss, Leaders Live with Crises (Bloomington, Indiana: Phi Delta Kappa Educational Foundation, 1974), p. 42.

principal is a key person in the administrative organization. He performs administrative tasks similar to those of a superintendent of schools.²⁹

Effective leadership involves areas of individual leadership, community relations and business management; it also entails the ability to determine priorities, not an easy task in view of the principal's loss of authority due to many judicial determinations on individual rights. The principal must be decisive without infringing on rights, and some find it easier to avoid the issues entirely. Halpin states:

The problem that an administrator perceives in an organization's task can be defined at different levels of specificity and according to different time perspectives. Some administrators identify as their problems issues crucial to the task; others putter with peripheral details.³⁰

For leadership to be effective, however, a head-in-the-sand policy does not suffice, particularly when the issues confront the administrator on all sides. In view of teachers' rights, for example, the principal cannot deal with peripheral details only. Teachers are now unionized. They have "rights" unheard of in years past,

²⁹ Roald F. Campbell and others, Introduction to Educational Administration (Boston: Allyn Bacon, Inc., 1971), p. 260.

³⁰ Andrew W. Halpin, ed., Administrative Theory in Education (Chicago: Midwest Administration Center, 1958), p. 167.

and these changes affect the principal/teacher relationship both directly and indirectly.³¹

To preserve dignity and status, often the principal must directly conflict the staff, giving rise to such situations as strikes and picketing which lend the relationship all the earmarks of an employer-employee situation. Such conditions make certain fundamental procedures such as teacher evaluation difficult.

Hain and Smith, for example, note that in a 1966 study of teacher evaluations by their respective principals, less than half of the principals informed teachers of impending observations. Almost all supervision, however, was carried out informally, but the principals' final reports were not readily available to all teachers.³²

Moreover, the principal is also one of the few professionals who finds himself in the position of having to deal with his superiors, manage his charges, the students, and at the same time often having to conflict with his peers and colleagues.

³¹Myra H. Nissen, "Table Talk with Albert Shanker," National Elementary Principal, LIII (March-April, 1974), 48.

³²John H. Hain and George H. Smith, Evaluation of Teachers--The Principal's Dilemma (Albany: New York State Department of Education, 1966), p. 9.

Reduction of the principal's power due to increases in teachers' rights may also have a demoralizing effect on the students. Conditions in many schools are chaotic because of a lack of cooperation between administration and instructional personnel, and the principal's authority is almost completely eradicated in the eyes of the student body.³³ Davidson notes that a child's perception of himself and his relation to the school has a significant impact on the learning outcome as well, and children can be very perceptive in their interpretation of teacher actions.³⁴ Greabell feels, however, that principals can overcome such conditions through communication.³⁵ The principal should be encouraging, appreciative and involved, helping to produce a classroom atmosphere that is both open and nonthreatening.

The teacher's private life, insofar as it remains private, is no longer the principal's dominion. Principal involvement with teacher behavior, due to judicial decisions, is not limited to the school, and away from it

³³ Bernard S. Caunes, ed., Pro-English Learning System (New York: Grolier, Inc., 1976), pp. 161, 178.

³⁴ Roscoe L. Davidson, "Moving Your School from Where It Is To Where It Could Be," National Elementary Principal, LII (January, 1973), 53.

³⁵ Leon C. Greabell, "Principals Can Cope," Humanist Educator, XIV (September, 1975), 30.

teacher behavior is not subject to principal scrutiny as it was in the past.³⁶ The principal's power has also lessened with regard to the student population, as recent judicial decisions have been made which safeguard students' rights.³⁷

Ladd and Walden note that many discipline problems now arise in schools because both principals and teachers have a misconception of their roles. Lack of skill and ability on the part of faculty is not responsible, but rather confusing definitions of functions create difficulty in dealing with students.³⁸

Traditionally, schools have held the role of substitute parents, directing behavior of children when the parent is not present. Hemphill has stated, however, that there has been a decline in this mode of thinking, known as the in loco parentis theory, at least in the area of behavior modification. Teachers and administrators do not

³⁶ John C. Walden, "A Right to Privacy: Law and the School Principal," National Elementary Principal, LIII (July-August, 1974), 88.

³⁷ Donald A. Myers, "The Declining Power of the Principal," The Educational Digest, XL (December, 1974), 4.

³⁸ Edward T. Ladd and John C. Walden, Student's Rights and Discipline (Washington, D.C.: National Association of Elementary School Principals, 1975), p. 70.

have blanket authority to direct student behavior.³⁹

The school's role as substitute parent is not, however, limited to disciplinary measures, as Nelson and Besag observe:

The legal term, in loco parentis, refers to the school's acting in place of the parent. A number of court cases have determined that the school has this function; and civil action can be brought against the school board, administrators, and teachers for being negligent in this role. Schools which utilize forms of corporal punishment have used this role as a legal protection. The function of parental substitution may be performed in a number of ways, including continual supervision of students while at school; . . . requirements of manner and dress; and imposition of the school's authority on the student.⁴⁰

The principal, in this regard, is still responsible for the organization of guidance facilities and the management of students' extracurricular activities. Nutritional meals in the cafeteria, even censorship of certain books, and countless other areas are under his (or her) supervision. Although student/principal interaction may have decreased, the role of the principal still has effect on the lives of pupils.⁴¹ Despite increased concern for

³⁹ Archibald B. Shaw, "Trends Reshaping the Superintendency," Croft Leadership Action Folio, LXVIII (BBP, Inc., 1974), 2.

⁴⁰ Nelson and Besag, *op. cit.*, p. 149.

⁴¹ Paul B. Jacobson and others, The Effective School Principal (Englewood Cliffs, New Jersey: Prentice-Hall, 1963), pp. 225, 278.

student rights, the principal can also have communication with the students, providing he is aware of the legal aspects of such steps, without fear of reprisal.⁴²

Without fear of violating rights, the school can also intercede in the lives of students in other areas.

Other roles of the schools as parental substitutes are demonstrated in the curriculum. Sex education is a growing movement, and many schools take heavy responsibilities in this regard. Driver education . . . is a fine example of parental substitution. Health and hygiene courses, cooking, sewing, woodworking and other classes are similar examples.⁴³

It would be impossible to touch upon the myriad judicial decisions that have subsequently altered the role of the principal. Note should be taken, however, of a controversial topic, the issue of desegregation and a few of its attendant problems.

Certainly, this issue has accelerated public involvement in the schools and thus increased the principal's responsibility in the area of public relations. Additionally, the principal who must be aware of teacher and student rights, may be in double jeopardy, if through his actions, there is a violation of the rights of a minority group member.

⁴²Nolite, op. cit., p. 8.

⁴³Nelson and Besag, loc. cit.

Moreover, the desegregation process has significantly affected black administrators. Studies have indicated that in certain situations the black educator has found himself demoted, transferred, or even dismissed in the wake of the desegregation movement. Despite increased concern with the issue of minorities, the number of black educators has remained disproportionately low.⁴⁴

Because many of the judicial decisions affecting education have come through the United States Supreme Court, schools have found increased involvement on the part of the federal government, despite state control of education. Much of this involvement stems from the Bill of Rights and the U.S. Constitution's "general welfare" clause. As Nelson and Besag note:

The Fourteenth Amendment has been of considerable use in permitting the Federal government to intercede in order to assure equal education to minority groups. The 1954 decision of the Supreme Court, which altered an earlier court decision on separate but equal education for Negroes, is a good example of the Federal government's interest in the formal structure of education.⁴⁵

The order to desegregate schools had a tremendous social and educational impact on the entire country.

⁴⁴Patricia Hansen Lutterbie, "Black Administrators: Winners and Losers in the Desegregation-Integration Process" (paper presented at the American Educational Research Association Annual Meeting, Chicago, April, 1974), p.15.

⁴⁵Nelson and Besag, op. cit., pp. 141-42.

Although judicial forces have a significant effect on the school system and the role of the principal, their impact is often long-range. Reformation, then, is a slow, often arduous process, but an adjustment which must be made nonetheless.⁴⁶

Whatever the area in question, it remains that the principal must be well-informed on an ever-increasing number of issues to be an effective leader. The administrator must be a knowledgeable leader, one aspect of his role that does not appear to be diminishing as his image of authoritarian has.⁴⁷

Political Influences

It would be extremely difficult to list all the aspects of education that have been affected by political changes. For instance, alterations in political climate and political structure have fostered additional changes in areas from curriculum to school lunches.

Schools as a whole are reflective of societal conditions and hence the political atmosphere. Schools and educational issues also become political pawns, attacked on the one side by conservatives for their increasing

⁴⁶"The Climate for Change: Factors that Foster Adaptability within the School" (Bloomington, Indiana: Social Studies Development Center, 1972), p. 3.

⁴⁷Nolte, op. cit., p. 5.

expenditures and permissive policies, and lauded by liberals on the other for programs of social reform and free expression. Of course, depending upon the variables of school, candidate, and issue, even these situations may be reversed.

Schools are often the target of public frustration as a reaction to political conditions. For example, in times of financial stress, as opposed to prosperity, the school is condemned as a "big spender," using excessive funds, and adding unnecessary frills to basic education.

Of all the public services, the schools remain closest to the people being served. Voter anger or frustration, no matter what the source, finds a ready, open and often vulnerable target in locally financed school systems.⁴⁸

As an educational leader, the principal is caught up in political whirlwinds, and often finds the need to adapt to changing conditions. When the school is condemned, it is condemnation of the administrator. The principal's leadership qualities are continually on the line, as he is viewed and judged from changing perspectives. For example, in the post-World War II era, leaders were categorized as autocratic, democratic or laissez-faire in accordance with prevailing management theory. Due to the prevalent political climate of the time, an autocratic

⁴⁸"Basic Relationships," Croft Leadership Action Folio 68, op. cit., p. 1.

leader was considered power-hungry, vengeful, constraining and dictatorial. Chaos reigned under democratic leaders, as they were ineffectual, while the laissez-faire leader presumably was agreeable, supportive, egalitarian, group-conscious and empathetic.⁴⁹

It would appear, using this basis, that frequently the stereotype of principal from earlier years was autocratic, fulfilling a negative, authoritarian type role. Decision making was an administrative duty, with results forwarded down to the staff, without explanation or concern for staff input. Educational goals were determined by administration and their attainment was a matter of pressure, discipline and control.⁵⁰

In later years, somewhere during the 1930's and 1940's, democratic ideals gained ground and became the major influence. Administrators began to establish and encourage communications and allowed for individual creativity among the staff members. Decision making became more of a group endeavor, and goals were set up and attained through group effort.⁵¹

⁴⁹James J. Cribban, Effective Managerial Leadership (New York: American Management Assoc., Inc., 1972), pp. 21-22.

⁵⁰Roger M. Bellows, Psychology of Personnel Business and Industry (New York: Prentice-Hall, Inc., 1954), p. 58.

⁵¹Ibid.

It becomes difficult to pinpoint where political impact ends and social influence begins, because these have many overlapping areas. Political conditions often foster social changes which are reflected in society's institutions. Nelson and Besag explain:

Education, as a major agent of socialization, is directly involved in the structure, functions, and values of the society in which it operates. It is a structural component in the sense that it is an institution of and for the society and is integrated with the society. In America, for example, formal education permeates the society at virtually every political and economic level.⁵²

This meeting of education and politics was the battle over neighborhood schools, property taxes for education, and numerous related issues. Political influence as a change factor, however, can perhaps best be seen by the extent to which the federal government becomes involved in the educational structure, and how major governmental concerns are reflected in the schools. In this area, curriculum changes immediately rise to the fore as exemplary.

From the 1950's to mid-1960's, government was concerned with the "space race." Science courses were emphasized in schools and there was an increase of audio-visual materials with correlative curriculum additions of

⁵²Nelson and Besag, op. cit., pp. 139-40.

ecology courses and projects.

In addition, as there was an increased concern for individual and civil rights, schools now are beginning to offer such courses as African studies and job training programs for low-income individuals. Not only does the school function as a training ground for students but also as an employer for those trained under special programs.⁵³

Although school administration remains essentially the task of state and local authorities, increased federal funding necessitates receptivity to changes required by the federal government to be eligible for that funding.

The two most prominent themes in Federal financial aid to schools have been that (1) schools are important to the country as means of social reform, and (2) schools are important as means of national defense and security.

The social reform is demonstrated by activities in the poverty, deprivation, and segregation areas. The national security interest is shown by the requirement of military training contained in the Morrill Act, and the reaction to Sputnik in 1957 which triggered the National Defense Education Act of 1958.⁵⁴

Schools also reflect the political climate of the time by the means in which they purvey nationalism and utilize channels of the school to develop feelings of patriotism and national spirit.

⁵³ Robert Pruger, The Establishment of a "New Careers" Program in a Public School (Walnut Creek, California: Contra Costa Council of Community Services, March, 1966), p. 50.

⁵⁴ Nelson and Besag, op. cit., p. 142.

The justification for nationalism in education is that political socialization is an important aspect of any country and cannot be ignored without possible loss of national identity. Since citizenship implies national ties, it would be strange to assume that the schools could educate for citizenship without promoting national pride and patriotism.⁵⁵

All of these factors place added burdens on the principal, who in Rogers's opinion is beset by pressure from bureaucrats and parents down the line to organizations and even the educational publishing industry.⁵⁶ To combat such pressures, Cross suggests the principals themselves should initiate issues, rather than devote substantial effort in reaction to the complaints, demands, and requests of others.⁵⁷ McManama takes a different view, advocating a systems approach to school organization and changing the role of the principal to that of a middle manager.⁵⁸

Political influences in educational change have made the principal a professional who is increasingly subject

⁵⁵ Ibid., p. 152.

⁵⁶ Vincent Rogers, "A Sense of Purpose," National Elementary Principal, LIII (May-June, 1974), 5.

⁵⁷ Ray Cross, "The Principal as a Counterpuncher," National Elementary Principal, LI (October, 1971), 28.

⁵⁸ John McManama, "Middle Managers Wanted: Apply Here," National Elementary Principal, LIII (May-June), 59.

to bureaucratic standards. Merton and others have found that such subjection to two standards often gives rise to conflict and thus creates personal and organizational tensions.⁵⁹

It has also been suggested that commitment to the professional norm orientation is related significantly to the principal's perception of administrative difficulties; Palumbo and Styskal add that professionalism makes receptivity to change difficult. Often the professional in public service is less inclined to accept change that would decrease his (or her) power.⁶⁰ Further, a commitment to professionalism by others increases difficulties for administrators. Corwin and his colleagues indicate that:

The prospect of growing conflict among professionals within school systems also is likely to transform traditional leadership functions of the school administrator. Increasingly, his function will involve mediation between groups; his job will be less that of "directing" the organization, as legal theory stipulates, and more one of just holding it together

⁵⁹ Robert K. Merton, "Role of the Intellectual in Public Bureaucracy," Social Forces, XXIII (1945), 405. See also Ronald G. Corwin, Militant Professionalism: A Study of Organizational Conflict in High Schools (New York: Meredith Corp., 1970), p. 150.

⁶⁰ Dennis J. Palumbo and Richard Styskal, "Professionalism and Receptivity to Change" (paper presented at American Educational Research Association Annual Meeting, New Orleans, Louisiana, February 25-March 1, 1973), p. 18.

sufficiently to enable the professionals to improve their own effectiveness.⁶¹

Should these trends continue, the principal who was once the authoritarian may well become the middle manager McManama foresees. Political influence, however, is so variable, that a humanistic trend may end, and conceivably, the future head of the school may even return to that authoritarian image. In any case, the principal must adapt to meet the situation, and his reaction to various conditions must be judged effective or ineffective by group response in the prevailing climate of the time.⁶²

Social and Philosophical Forces

As pointed out before, social factors are constantly at work in the change process. Society itself is altered by outside forces such as ideology and technology, and in turn the new social concepts and values force change in institutions such as education. Innovative social philosophies effect changes in institutions in much the same way.

Educational development is directly related to social change. As Brubaker observes:

In reviewing the writings of some of the most respected authors in the field of education,

⁶¹Ronald G. Corwin and others, Foundations of Educational Administration (New York: MacMillan Company, 1970), p. 417.

⁶²Harold J. Leavitt, Managerial Psychology (Chicago: University of Chicago Press, 1972), p. 218.

persons such as John Dewey and George Counts, one is impressed by their constant reminder, that education, both formal and informal, does not occur in a vacuum but is instead the expression of the particular culture in which it exists.⁶³

Moreover, education is a tool of socialization, with the school inflicting societal standards and values on the child. Thomlinson states:

Socialization is the process whereby the individual is molded into a social being through learning to think and behave according to the values and norms prevalent in his society. It is how a person becomes a part of a society. Without socialization, the individual has extremely limited capabilities, as is attested by studies of isolated children.⁶⁴

Although the family is the primary agent of everyday socialization, much of this learning occurs in the school and through the child's peer groups, with which he is usually associated in the school setting. As Nelson and Besag note:

The school, of course, is not the only avenue for learning these behaviors, but it has considerable influence in the shaping of moral and intellectual actions of the youth in a society.⁶⁵

One of the ways in which society and education interact is through the school setting. A simplified

⁶³Brubaker, Creative Leadership, p. 8.

⁶⁴Ralph Thomlinson, Sociological Concepts and Research (New York: Random House, 1965), p. 9-10.

⁶⁵Nelson and Besag, op. cit., p. 146.

definition of setting according to Sarason, is ". . . any instance when two or more people come together in new and sustained relationships to achieve certain goals . . .⁶⁶." It is important to keep in mind that settings can be created and altered, as this enables the school to adapt to social change.

The child is subjected to social change when he moves from the family setting and enters school, a new setting. Obviously, this change can create conflict, and a good example is the racial-ethnic issue confronting most schools today. The perception of school as a social institution varies widely among different racial and ethnic groups, which may view it as important, as a threat, or yet another source of degradation. When parents and other members of the ethnic community perceive the school negatively, they tend to be uninvolved, though not necessarily unconcerned, with its operations; this feeling is bound to create conflict. Monteiro's study on such conflict in black and Puerto Rican neighborhoods in New York City indicates that a greater degree of involvement by community and parents in school decision-making and policies would curtail conflict. Improved relationships

⁶⁶ Seymour B. Sarason, The Creation of Settings and the Future Societies (San Francisco: Jossey-Bass Publishers, 1972), p. ix.

would thereby alter the school setting.⁶⁷

The creation of settings is of significant value in dealing with multi-ethnic, racial and community involvement issues in education, for as Brubaker states:

The two most common general goals we hear cited for the creation of settings are the desire for a psychological sense of community and a sense of personal worth. The relatedness of these goals is obvious for one feels a sense of personal worth when part of a "mutually supportive network of relationships upon which one can depend . . . rather than experiencing" . . . sustained feelings of loneliness that impel one to actions or adopting a style of living masking anxiety and setting the stage for later and more destructive anguish.⁶⁸

The school's socioeconomic setting and its organizational climate as well have been found to have a significant effect on problems confronting the school principal. Nicholas and others report that differences in number and type of problems and initiators of problems brought to the school office were closely related to the socioeconomic setting and organizational climate.⁶⁹

⁶⁷Thomas Lee Monteiro, Identifying Sources of School-Community Conflict in Black and Puerto Rican Communities . . . (New York: Board of Education of the City of New York, 1975), p. 150.

⁶⁸Dale L. Brubaker, Social Studies and the Creation of Settings, Publication #7 (Greensboro: University of North Carolina Humanistic Education Project, December, 1976), p. 1.

⁶⁹Lynn N. Nicholas and others, Effect of Socio-Economic Setting and Organizational Climate . . . (Detroit: Wayne State University, 1965), p. 175.

Certainly, if the school setting is altered by societal changes, the principal's role will be subsequently changed. Following developments in managerial philosophy over the years is a good indication of the ways in which perception of the principal's role has been affected.

In the early 1900's it was determined that efficiency in an organization was achieved through close control and supervision of the worker. Sole authority was much more effective than shared authority. Hence, we find the school principal as a dominant, authoritarian figure. Implementation of change in the school was done through his order.⁷⁰

By the 1920's the practice of standardized testing enabled the principal to develop a greater objectivity which eased some of the tension in principal-teacher relations found previously. Achievement was measured by student ability which reduced some of the pressure of close supervisory control, and paved the way for the more humanistic management concepts of succeeding decades.

When World War II significantly reduced the labor force, and workers became more independent, the

⁷⁰James S. Swift, "The Origins of Team Management," The National Elementary School Principal, L (February, 1971), 29.

personality traits and feelings of workers and employees became more important. Acceptance and group identification were significant factors in productivity, and sociologists determined that management could achieve more cooperation from staff members by meeting their emotional needs.⁷¹ Principals began to be less authoritative and more democratic, considering the feelings and needs of teachers and students alike.

By the 1950's, however, it became apparent that concern for human relations was not the total answer to productivity. Participation on the part of the worker was needed. Not only were the individual's feelings important, but his thoughts and input on the required task produced greater motivation. In educational matters teachers, and even students, were able to voice their opinions. Swift states how:

With this movement we finally return to the current trends in schools today . . . The significance of report cards and grades is demoted; a smooth growth curve in learning is promoted.⁷²

Purl and Dawson's findings substantiate this view. In an analysis of schools without failure, they report students were more expressive and responsible and more respectful of others' opinions. Teachers were found to be

⁷¹Ibid., p. 30.

⁷²Ibid., p. 31.

more aware of problems and better able to handle disciplinary problems themselves, alleviating the principal of much of this burden. Communications in various relationships were also improved.⁷³

Individuality has gained acceptance, and creativity is not viewed as a threat. Competition is less a means for student achievement than development of individual needs, and the same condition exists for the teaching staff as well. Gardner and Lois Murphy say, "In emphasizing individuality in children, we must give equal emphasis to individuality in teachers."⁷⁴

For the principal this means a lessening of his authority but also a reduced burden of decision making. His job now involves less enforcement of regulation and policy and more development of potential and utilization of staff talent.⁷⁵ The principal's power now lies in his ability to determine capabilities and effectively

⁷³Mabel C. Purl and Judith Dawson, "An Analysis of Some of the Effects of 'Schools Without Failure,'" (paper presented at American Educational Research Association Annual Meeting, New Orleans, Louisiana, February 25-March 1, 1973), p. 15.

⁷⁴Gardner Murphy and Lois Barclay Murphy, "Nurturing Humaneness In the Elementary School," The National Elementary Principal, I (January, 1971), p. 17.

⁷⁵James A. Van Zwoll, School Personnel Administration (New York: Appleton-Century-Crofts, 1964), p. 227.

match people and tasks. As Castetter states:

The principal of an attendance unit is probably the most important administrator in the school system in terms of achieving effective utilization of human resources.⁷⁶

Social and philosophical forces also effect changes in the principalship through societal subsets, that is, various groups, as opposed to society as a whole, attempting to inflict their goals and values on the principal, whether directly or indirectly through the school.

The principal, particularly in a decision-making role, is beset by the forces of society, the school system itself, the board of education, peers and colleagues, the community at large, and various groups within the community, such as ethnic, racial, professional, and special interests. Very often this myriad of forces imposes conflicting demands and expectations.⁷⁷

In these instances the principal's role varies according to the community's socioeconomic level, ethnic composition, and cultural perspective. Whatever the situation, the principal spends a great deal of time as a mediator between various interest groups, assuming roles

⁷⁶William B. Castetter, The Personnel Function in Educational Administration (New York: MacMillan Publishing, 1976), p. 53.

⁷⁷Campbell, op. cit., p. 260.

that appear to meet the needs of those with whom he deals. The principal would, for example, be less an authoritarian when dealing with the school board or parents than with the students. Thus perception of the principal's role differs with each group encountered and may well not coincide with the principal's own perception of himself.⁷⁸

As a facilitator of change, the principal must be aware of the conflicting needs and demands of those with whom they deal and must attempt to implement changes that satisfy them, at least to some extent. The principal is the mediator, the arbitrator, the public relations expert, and the key to development of the school's philosophic base. As Heichberger indicates:

. . . the leader or principal must initiate this philosophical orientation. He must provide the time, setting, and proper opportunity for this extensive searching of minds to take place . . .⁷⁹

In other words, without a philosophical base of reference, educational change is pointless and frequently impossible. It can be noted that various social and philosophical forces are at work in altering the role of the principal, at the same time the principal, as a change

⁷⁸ Harry F. Walcott, The Man in the Principal's Office: An Ethnography. Case Studies in Education and Culture (New York: Hold, Rinehart and Winston, Inc., 1973), p. 300.

⁷⁹ Heichberger, op. cit., p. 109.

agent, is an innovator in the school, a social institution with a philosophic base. As an innovator and also an object of innovation, the principal is left open to praise and condemnation on all sides. It is interesting to note a significant result of this variation in perception. Steinbaum, for example, believes the principalship to be a vanishing profession and suggests a new program of career development to sustain this position.⁸⁰

Gauthier's report concurs with the concept that the leadership role of the principal is diminishing, and furthermore he feels that this leadership is not being assumed by other members of the educational community.⁸¹ By contrast, Saxe and others have concluded that increasing importance is being associated with the role of principal in the school.⁸²

⁸⁰ Milton Steinbaum, "Career Development for the Elementary School Principal . . ." (Paper presented at the National Association of Elementary School Principals Annual Meeting, Cleveland, Ohio, April 17-22, 1971), p. 10.

⁸¹ William J. Gauthier, Jr., "The Relationship of Organizational Structure . . ." (paper presented at the Annual Meeting of the American Educational Research Association, Washington, D.C., March 30-April 3, 1975), p. 43.

⁸² Richard W. Saxe, comp., Perceptions of the Changing Role of the Urban Elementary School Principal . . . (Toledo: Toledo University, 1970), p. 48. See also, Robert C. Blackmon, ed., Changing Behaviors and Values: The Educational Administrator in American Society (Lincoln, Nebraska: National Conference of Professors of Educational Administration, 1969), p. 158.

Certainly, the principal's role has changed and is changing. Perhaps it is more mediator than administrator, more the humanist than the authoritarian. Whatever the role is, or will be, depends greatly on the principal's adaptation to the forces of change at work in society and the prevalent philosophical climate of the future.

Section B: Reviewing Models as Tools of Social Research

To this end, the utilization of the model is most helpful. If, for example, we were to break down society into various areas of study and focused on formal education, we would immediately realize that even formal education is still too broad an area with which to deal. Further subdivision will lead us to the school, which still presents a multitude of questions, areas of concern and variables. If we take analysis yet one step further, to the role of the administrator, we find the situation to be somewhat less complex than that of education as a whole; but because the underlying concept is still multifaceted, research and analysis can be facilitated through the use of an appropriate model.

Usage of a suitable, rationally devised model enables us to explore, as Chapanis, states, ". . . certain aspects of complex events, structures, or systems, made by

using symbols or objects which in some way resemble the thing being modeled."⁸³ Such constructs can be used to determine human behavior in a given situation, as for example when laboratory animals are tested for reactions in situations similar to those encountered by the human specimen. Obviously, conditions cannot be exactly alike for humans and quadrupeds in all areas, but the animal, as a model, is helpful to determine ". . . the behavioral processes of both in the presence of similar conditions."⁸⁴

Generally speaking, models need not be exact, which in many cases would make them too complex to perform analysis. The purpose of the model is to serve as a research tool, a theory to test against reality when that reality is not readily available.⁸⁵ The model helps to clarify and to aid in the visualization of something that cannot be directly observed. Therefore, it usually includes only the data on and characteristics of the subject relevant to the situation under consideration.⁸⁶

⁸³Travers, op. cit., p. 22.

⁸⁴Arthur J. Bachrach, Psychological Research (New York: Random House, 1968), p. 95.

⁸⁵Nelson and Besag, op. cit., p. 13.

⁸⁶Thomlinson, op. cit., p. 119.

An example is the cross-section of society, the typical model used by pollsters. While the prospect of polling every individual in the country, any given state, or even an entire city, is overwhelming, determining and reaching a sampling is feasible. The sampling of the population includes roughly the same proportion of different types of people (e.g., laborers, professionals, housewives, low-income men, women, senior citizens and so forth) as the whole and should provide the same results as if the entire group were polled. Such a cross-section may not provide results in exact accordance with the whole, but the results will provide the probability that a certain explanation is true and will furnish the basis for determining general feelings on a given matter or for proving the validity of a belief or trend.⁸⁷

Models lend themselves to interpretation more easily than the reality they represent. They enable one to graphically depict a concept that is intangible, whether for illustration or experimentation; or they can present a tangible object that is not usually available for observation itself. Most school children are familiar with the plastic model of the human heart, for example--a model depicting an object they could not view in the same way

⁸⁷Backrach, op. cit., p. 86.

otherwise. We are all familiar, too, with architectural models, presenting buildings as they are or may be in the future.

Obviously, then, there is more than one type of model, ranging from the three-dimensional object to the verbalization or printed description. The term "model" evokes several designations. Thomlinson states that:

Models have three connotations. They may represent states, objects, and events in which an architect constructs a small-scale model of a building. They may imply a degree of perfection or idealization, as in a model student or a model husband. Or, they may demonstrate how something works.⁸⁸

The author adds that models are often less complicated than reality and easier to manipulate than what they refer to. Yet another type of model which has seen ever-increasing use since the 1940's is the scientific or statistical (mathematical) model. It has been especially well received in the field of sociology, because scientific analysis of this type requires no moral judgments on the part of the researcher.⁸⁹ The mathematical model can be programmed into a computer, which, in turn, acts as a model for the human thinking process. Using the resulting data, the researcher can conduct similar experiments

⁸⁸ Thomlinson, op. cit., p. 119.

⁸⁹ Nelson and Besag, op. cit., pp. 9-10.

on human subjects.⁹⁰

Usage of the scientific or mathematical model is not, however, limited to studying and thinking processes. It is also basic to operations research, where a problem is formulated and then expressed in mathematical terms. The solution thus derived is also symbolic, and both the symbolic solution and the model can be tested. The final solution is then translated again into practical terms. Coupled with the use of the computer, this method is effective and helpful, saving valuable time for both business and administration.⁹¹

Nelson and Besag note that use of such models can be beneficial but may also have certain drawbacks. They state:

The sociologist can remain neutral, collect and quantify data, feed it into a computer for analysis, and then report the findings. This method of study obviates some abstract, non-quantifiable ideas and unobservable social values; but it offers clean, neat tables and charts for social dissection.⁹²

Models may also present a simulated situation, the type of set-up often used in laboratory experiments on human behavior, then providing microcosmic data to

⁹⁰Travers, op. cit., p. 24.

⁹¹Thomlinson, op. cit., pp. 120-21.

⁹²Nelson and Besag, op. cit., p. 10.

macrocosmic phenomena, facilitating relatively simple testing procedures. By using a simulation one can determine the probability of results with certain factors present, when absent or altered. Simulations can also be computer programmed to determine results. Each aspect of the simulation can be defined as a variable; respective data are programmed into a computer, and the programmed results are then redefined in nonsymbolic terminology. A number of corporations now use the corporate simulation model to determine everything from financial reports to marketing techniques.⁹³

The model approach is beneficial to educational research, and it is valuable in determining the functions of the leadership role and the decision-making process as applicable to the educational leader. Using models, for example, the researcher can determine that if certain societal changes take place, then the school will react, in probability, in a certain way. Subsequently, if a certain change takes place in the school, then the administrator must do certain things to compensate for that change. Nelson and Besag thus explain this function of the model:

The administrative model attempts to determine how and why institutions can vary the behavior

⁹³Naylor, op. cit., p. 141.

of their members, and how these members react to such manipulation . . . every institution is part of the greater social system. The members as well as the institution itself respond to the pressures, norms, and values of their greater society; . . .⁹⁴

Different types of institutions, and in the case of schools, even different types of communities, will influence leader behavior. A simple example might be described as a staid community that believes in teaching the three R's without added frills. The school board of such a community would probably be authoritative. Therefore, the innovative principal seeking to initiate educational change would have a difficult time in such a setting.

The principal's relationship with the community/school board has a direct effect on such an administrator's leadership role; and it is possible if this relationship changes, or even if the community/school board setting changes, that the principal's role will also be altered.

McCarty and Ramsey cite four types of community situations and their respective school boards. Administrative leadership varies with each for maximum effectiveness. The first situation is the dominant

⁹⁴Nelson and Besag, op. cit., p. 36.

community/dominant board of education, wherein the administrator is primarily a functionary. The individual who is less innovative would fare better in this situation.

The factional community/factional board comprise the second setting. The community is not a homogenous grouping, thus creating divergent attitudes from the various racial, ethnic, economic, and religious elements, and giving rise to an uncertain power structure. Leadership requires a politically experienced individual who possesses not only administrative skill but tact and diplomacy as well.

The third situation, that of the pluralistic community/status congruent board, is considered generally ideal. Although opposing factions do exist, change is more readily accepted and the administrator serves in a primarily advisory capacity.

In the fourth and final situation we find the inert community/sanctioning board, with the administrator likely to be in a position of power. He can gain control and/or implement change with both community and school board most likely to acquiesce. Unless the administrator is highly creative and innovative, however, he may possibly become

apathetic when he receives little or no outside stimulus for change.⁹⁵

The organization of the school itself also has several implications for leadership. Any changes in organizational structure affect not only overall organizational effectiveness but also leader performance and the responsibilities of leadership. Singe presents several models in his work on the multi-unit elementary school which indicate these effects on leadership.⁹⁶

Use of the model and its results can enable the administrator to determine courses of action should change occur, and it is of special value in view of the trend toward decentralization. Results of research done with various decentralization and leadership models offer insight into whether this course is the best for a particular school and/or administrator.

Cross indicates that decentralization actually enhances the administrative role, while allowing for broad-based participation. Decentralization also provides much needed diversity and thereby improves overall school

⁹⁵Donald J. McCarty and Charles E. Ramsey, The School Managers, cited in "Basic Relationships," Croft Leadership Action Folio 68 (BBP, Inc., 1974), p. 24.

⁹⁶Anthony L. Singe, "The Multi-Unit Elementary School . . ." Educational Leadership, XXXIII (April, 1976), 539.

quality.⁹⁷ Perhaps it should be noted that several studies on this concept use it in the sense it is viewed in the Metropolitan New York area, not in rural districts.

The leadership role under decentralization is altered to allow for greater staff involvement in the decision-making process, while also permitting the principal to respond more effectively to pressure groups. Reller describes the leadership role in the following terms:

Instead of the earlier responsibility to the central office and administration in accord with pre-established and systemwide rules, his task has become administration with responsibility to the central office, various segments of the staff, and various client groups.⁹⁸

The leadership role in such a case, however, is seen as on the decline by opponents of decentralization. This leadership model is reduced to representing a functionary, which Meyers describes:

Some observers perceive the future school administrator's role to increasingly involve mediating between groups. The job will be less one of directing the organization and

⁹⁷ Ray Cross, "The Administrative Team or Decentralization?" National Elementary Principal, LIV (November-December, 1974), 82.

⁹⁸ Theodore L. Reller, Educational Administration in Metropolitan Areas (Bloomington, Indiana: Phi Delta Kappa, Inc., 1974), p. 85.

more one of holding it together sufficiently to enable the professions to improve their own effectiveness.⁹⁹

Advocates of the decentralization concept, however, argue that rather than lessening the principal's status as an administrator, the decentralization process actually enhances it. Cross, in comparing the decentralization leadership model with that of the administrative team model, has determined that the principal is placed in a more rigorous and demanding position, yet it is a more professional one. Cross states:

In a decentralized school district, the principal is the leader of a professional staff and the chief administrator of an attendance center, not just an extension of corporate management.¹⁰⁰

Leadership models also indicate how change has taken place over the years and subsequently altered the leadership role. For example, earlier studies indicate authority and/or authoritarian behavior as a prerequisite to effective leadership, while subsequent data collected by Lewin and his associates depict the democratic leader as more

⁹⁹Daniel B. Meyers, "A Principal Characterizes a Good School," The National Elementary School Principal, LIV (November-December, 1974), 75.

¹⁰⁰Cross, op. cit., p. 32.

effective over the authoritarian counterpart.¹⁰¹

Stogdill's leadership model, compiled from a review of 124 studies of leadership characteristics, includes personal traits categorized under the following headings: capacity (e.g., intelligence, judgment, and verbal facility); achievement, whether scholastic or athletic; responsibility, including initiative, tenacity, self-confidence and the like; participation; status; and situation, including objectives, intelligence skills, and characteristics of followers.¹⁰²

More recently, however, Leavitt determined that leadership is "a set of functions," and the leader is the person holding the leadership role. While some personality traits such as intelligence and self-confidence are still important to effective leadership, sensitivity is an added trait; moreover, situations are also significant in determining leadership. Leavitt states that:

Effective leadership style depends on group and task conditions. Being permissive is great under some conditions; being tough and decisive

¹⁰¹Paul B. Jacobson, William C. Reavis and James D. Logsdon, The Effective School Principal (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1963), p. 88.

¹⁰²R. M. Stogdill, "Personal Factors Associated with Leadership: A Survey of the Literature," The Effective School Principal (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1963), p. 89.

is great under others; being emotional, having a dream is just what's needed in others.¹⁰³

Even more recently Shaw stated that demands of the system are of less importance to effective leadership than idealism, an opinion in our modern society. Shaw concludes:

The need is greater than ever before for administrators who have visions of what our schools might become, of what they might do for every child and every community; leaders who can communicate that vision and lead towards its fulfillment.¹⁰⁴

In other words, this author emphasizes the need to combine efficiency with humanity, by considering not just input versus output, but the people and their problems behind it.

In considering the leadership model, then, ostensibly the personality trait approach to leadership comprehension is somewhat limited. Gouldner concluded that "universal leadership traits" as such were nonexistent,¹⁰⁵ and a decade later R. M. Rose offered an approach to leadership. His hypothesis was that leaders are group functionaries. They develop certain characteristics of a

¹⁰³Harold J. Leavitt, Managerial Psychology (Chicago: University of Chicago Press, 1972), p. 217.

¹⁰⁴Archibald B. Shaw, "Trends Reshaping the Superintendency," Croft Leadership Action Folio 68, op. cit., pp. 3-4.

¹⁰⁵Alvin W. Gouldner, ed., Studies in Leadership (New York: Harper and Brothers, 1950), p. 34.

social nature from their association, group influence and their position within the group. Rose indicates:

Group leaders are more likely to be socially integrated and less likely to be alienated from the society than the general population. Group leaders differ only in degree and proportion, not in kind or absolutely from the general population.¹⁰⁶

It would obviously be far more difficult to assimilate this variety of data concerning leadership function, were it not for the use of the model. We have at once before us several images, all possible in the school situation, all with benefits and drawbacks. However, without this wealth of information, the administrator would be reduced to a "trial-and-error" method of determining that leadership style which not only benefits his particular situation but also meets his own individual needs.

Leadership can also gain through the model approach by using results to determine where change is necessary (i.e., within the school situation, group task situation, or the role of the principal itself). Fiedler, for example, utilizing a contingency model of leadership effectiveness, indicates that overall group performance, such as the school organizational function, can be

¹⁰⁶R. M. Rose, "Alienation and Participation: A Comparison of Group Leaders and the 'Mass,'" American Sociological Review, XXVII (1962), 837-38.

modified through either leader behavior or group task situation. He states:

This model suggests that up to now we may have paid too much attention to selecting and training and too little attention to the situation. It is obviously easier to change someone's rank and power or to modify the job he is supposed to do than it is to change his personality or leadership style.¹⁰⁷

Change also affects the principal as an educational leader in terms of decision making. In different times and settings situations must be handled in different ways. Changing situations and events also bring a change in the types of decisions that must be made, and the effective leader must be aware of when the decision-making responsibility lies squarely on his shoulders, when it is shared with faculty, or when it should include the board of education and/or the community. Once again, determining the best procedure can be facilitated through the use of the model.

A decision making model is not unlike the process used by the average person in solving a problem. The person will usually first obtain as much information about the problem as he can, then evaluate the information in light of the present situation and his past experiences.

¹⁰⁷F. E. Fiedler, "Leadership--A New Model," Discovery (April, 1965), p. 273.

He then arrives at one or more conclusions, selects his course of action, and then, following his decision, evaluates the validity of this course of action (i.e., his decision).

The model is constructed from available data, evaluated by the computer memory bank, and formulated into a hypothesis which is then tested. When using computers, the results are then programmed back into the memory bank for future reference. When a computer model is not used, the process is still similar--observation, hypothesis, experiment, results, theory.¹⁰⁸

The decision-making model is useful in view of the many variables which affect decision making, particularly in the school situation as faced by the administrator. For example, Warner's study of a board of education determined that the most powerful forces came from the upper-middle class of society and that minority groups and liberals were seldom represented on the board. Consequently, the decision of minority groups and liberals reflected upper-middle class values and prejudices; moreover, community participation in the school was limited to this class which dominated the board.

¹⁰⁸Bachrach, op. cit., pp. 55-56.

In a later study, W. W. Charters concluded that board members were usually selected from the upper-middle class, although selection from this level of society did not seem to influence the Board of Education decisions on educational matters. It did, however, contribute to community difficulties whereby minority groups had little voice in school decision making.¹⁰⁹

Other determinants of decision-making in schools--the administrators, prominent parent groups, other school pressure groups, and teachers--are affected by social class and mobility dimensions. Teachers and administrators are either upwardly mobile or have adopted middle-class values; vocal parent groups tend to reflect class biases toward college entrance, curriculum, homework; and so forth.¹¹⁰

Pressure groups, associations and other forces are also instrumental in shaping social ethics. The principal being in the center of these forces is called upon to make decisions which will hopefully not conflict with various expectations and demands of those surrounding him. Coupled with the need for decision making is a demand for action, which, according to Simon, is all too often lacking. He states:

Although any practical activity involves both deciding and doing, it has not commonly been

¹⁰⁹Nelson and Besag, op. cit., pp. 131-32.

¹¹⁰Ibid., pp. 132-33.

recognized that a theory of administration should be concerned with the process of action. The task of deciding pervades the entire administration organization quite as much as the task of doing--indeed it is integrally tied in with the latter.¹¹¹

Moreover, according to Lindblom the rational decision-making model is incomplete unless five additional factors are included. Comprehension of decision-making calls for knowledge of the following:

1. The sheer pressure of time;
2. The cost of obtaining adequate information about the various acceptable goals and policies;
3. The mixture of sometimes incompatible or incommensurable goals that are pursued simultaneously within an urban system;
4. Structural features of the political system that frustrate coherent and co-ordinated policies; and
5. The constraints of "political feasibility."¹¹²

Using the model will also give insight into the principal's decision-making ability in response to his own perception of his professionalism. As indicated previously, there is a growing trend toward professionalization,

¹¹¹Herbert H. Simon, Administrative Behavior: A Study of Decision-Making Processes in Administrative Organization (New York: The Macmillan Co., 1965), p. 1.

¹¹²Charles E. Lindblom, The Policy-Making Process (Englewood Cliffs, New Jersey: Prentice Hall, 1968), p. 39.

both for principals and teachers. This trend has implications for the administrator as he responds to his organizational environment. Corwin indicates that:

An administrator who subscribes to the integration model will probably evaluate its own success and failure by the standards implied in that model. He is likely to promote consensus with administrative policy.¹¹³

Such a professional may seek higher controls, while an administrator who favors the natural systems model may accept compromise and even encourage disputes.

As societal changes occur with subsequent results within the school, the principal may find that his conditioned response to the altered environment is inadequate to the new needs. According to Seymour Sarason, many principals feel that their previous experiences and training have not prepared them to meet these challenges. They are ill-prepared to continue effectively in a role of educational leader.¹¹⁴ Kuralt suggests that principals must, therefore, be trained to be leaders if they are to succeed as such in any real sense. Additionally, they should behave as leaders, with leader behavior expected by their

¹¹³Ronald G. Corwin, Willard Lane and William Monahan, Foundations of Educational Administration (New York: The MacMillan Co., 1970), p. 417.

¹¹⁴Seymour B. Sarason, "The Principal and the Power to Change," National Elementary Principal, LIII (July-August, 1974), 47.

employers and co-workers alike.¹¹⁵

To this end simulation is an invaluable educational tool and one from which the decision-making process can benefit greatly. The simulated situation, a school model, enables the candidate for administration to work under conditions similar to those in actuality. He (or she) is encouraged to behave as he (or she) would in the real situation and thus learn situations by doing. Data accumulated on the experiences of each subject in this situation can also be used for clinical examination, the results of which may be utilized for future reference.

Furthermore, simulation allows individual problems to be considered in a broad context, and provides the subject with "object lessons" which may well be applicable in his own situation. Other models, research, and information are readily available to the subject; and if an error occurs on his part in the simulated situation, he has the opportunity to correct and learn from it, whereas it might be potentially disastrous to make the same type of judgment error in the real situation.¹¹⁶

¹¹⁵Richard C. Kuralt, "The Principal's Turn," National Elementary Principal, LIII (March-April, 1974), 38.

¹¹⁶Phil Burke, "Simulation and Special Education," (unpublished Doctoral dissertation, Syracuse University, 1969), p. 88.

Simulation provides opportunities to relate the theoretical to the real, while the subject can identify and assess values critical to decision making. The subject can also develop decision-making skills and practice them in a reality-oriented situation. Moreover, simulation provides instructors with the opportunity for observation and acts as stimulus for the collection of data regarding the prospective or practicing administrator.¹¹⁷

The administrator may find simulation models beneficial, as he works within a social organization, and may also find that simulation affords training that better enables him to understand the psychosociological processes of human behavior. As Meir states:

The exercises, tasks and games involved when social organizations are simulated actually represent contrived behaviors that have been abstracted from real life. Though enacted out of context, these action sequences create an atmosphere and context which is quite closely related to the real-life situation that is being modeled.¹¹⁸

The encounter and the prospective decisions can often be influenced through participation in a simulated exercise.

¹¹⁷ Jack Culbertson, "Dissemination of Information about Materials" (unpublished paper, University Council for Educational Administration, September, 1972), p. 163.

¹¹⁸ R. L. Meir, "Exploration in the Realm of Organization Theory: The Simulation of Social Organization," Behavioral Science, VI (1961), 232.

Both the novice and the experienced administrator can use the simulation model in problem solving and decision-making. The benefits for the novice are clear; but the advantages for the experienced educational leader are also great. He can practice his skill and confront problems with which he has not as yet had the opportunity to deal. He can also develop a better understanding and perception of his role. In his research on the subject, William Fern writes:

Administrative problems seldom present themselves as such but rather as events within which the problems must first be identified and then acted upon. They vary considerably because of their social nature. Their significance and solution depend on how they are perceived and defined and on their relationships to other events in a particular situation.¹¹⁹

Despite his position as an educational leader, the principal does not work alone but is part of a group. His (or her) effectiveness as a group leader, as well as an educational leader, can also be measured through the model approach. Williams and Hoy for example, utilize the "Contingency Model." They theorize that the relationships between leadership style and the degree to which the leader exerts influence in a given situation will affect

¹¹⁹William H. Fern, "Aspects of Problem Perception and Problem Solving in Educational Administration" (unpublished Doctoral dissertation, The University of Chicago, 1961), p. 52.

group performance. Group effectiveness is contingent upon that relationship.¹²⁰

Conversely, Corwin and his associates indicate that group influence also affects leadership and decision-making, despite the fact that the leader is dealing directly with individuals. They state:

Educational leadership and decision-making cannot be understood apart from its complex bureaucratic context and the "power" environments. For, although leaders deal directly with individuals, ultimately it is organization--that is group traditions, established relationships, and vested interest groups--which are their main concern.¹²¹

In this case, Corwin argues, laboratory simulation is not a satisfactory setting in which to study all aspects of leadership and decision-making.

Although traditions are often a determining influence on the leaders' behavior, ad hoc laboratory groups have no traditions. Second, the rewards of leadership in laboratory situations are usually so small that they will motivate few persons to any significant degree.¹²²

The fact that laboratory situations operate independently of outside pressure groups must not be overlooked either. This condition does not entirely minimize

¹²⁰ Leonard B. Williams and Wayne K. Hoy, "Principal-Staff Relations: Situational Mediator of Effectiveness," Journal of Educational Administration, IX (May, 1971), 66.

¹²¹ Corwin, Lane and Monahan, op. cit., p. 301.

¹²² Ibid., p. 320.

the value of simulation but is suggestive of the fact that alternative models may produce different results. One investigator, though, indicates that conflict in the group situation is more likely to arise from variance in educational values associated with the reality and those values resulting from the model, than from their respective effects on power or allocation of resources.¹²³

Whatever model is utilized, it can be beneficial to the administrator in handling changes that occur within the school and within the role as educational leader. Whether it is a simulation model in which he participates or a statistical model from which he derives data and theory, it provides insight into present conditions and the probability of results for future change. Through the model, past experiences, present situations and future demands can be incorporated to facilitate reference and aid in clarifying his own perception of his role. The model can perhaps be most advantageously applied in determining the best ways in which to become an effective leader in a truly effective educational system.

¹²³William H. Klenke, "An Exploratory Case Study of the Multi-Unit School and the Instructional Programming Model . . . ," Technical Report No. 349 (Madison: University of Wisconsin, 1975), p. 100.

CHAPTER III

PROPOSED MODEL

While the significance of models in the social sciences was discussed in the first chapter of the present study, the applicability of this approach to education was briefly explored in the final part of the same chapter. It now will be attempted to construct a working model specifically dealing with the school principal, his tasks and problems in a modern educational system, with particular reference to his personality traits.

Theoretical models are constructs within "social systems against which reality can be tested."¹ The definition appears acceptable, since it does not imply value judgment. However, in numerous instances terms in common usage should be qualified if they are to be understood in a different sense.

Definition of Terms

Before proceeding with this investigation, the definition of technical terms requires some clarification.

¹Jack L. Nelson and Frank P. Besag, Sociological Perspectives in Education: Models for Analysis (New York: Pitman Publishing Corporation, 1970), p. 13.

Certain definitions stand on their own, as, for instance, the one concerning theoretical models. But in most cases, the author of a treatise dealing with values must indicate in what sense a specific term is used by him (or her).

When a speaker extolls something as being "good for the country," does he mean the entire population, certain layers of society, or does he simply want to say "good for General Motors"? According to I. Scheffler,² there are basically three kinds of definitions:

1. Stipulative--this requires a term in a certain work to be understood in a special way. For example, when using the term "education," an author may want it limited to Formal Schooling.

2. Descriptive--this normally reflects predefinitional usage, although some conventions may be observed for the purpose of a discussion, while trying to remain basically objective. For example, "indoctrination" means the presentation of issues as if they had but one side to them.

3. Programmatic--this constitutes an expression of a practical program and often has persuasive purpose. Such an approach is definitely subjective; it need not be

²Israel Scheffler, The Language of Education (Springfield, Illinois: Charles C. Thomas Publisher, 1960), p. 83.

considered improper, as long as the author does not try to disguise his intent.

In the present chapter, most definitions are of the stipulative kind. When programmatic language is used, it is always understood (and often specifically pointed out) as such. Value-laden words such as "traditional," "conservative" or "liberal" cannot be identified with "good" or "bad" since without a chart of references they would be deceptive and meaningless. This position has been underscored in many passages throughout the present study and must always be kept in mind.

This study should enable the researcher to obtain a better picture of the difficulties faced by an educational executive in today's complex social world, and at the same time it will show how various types of personalities react in different situations. Of course, even with the best of models, such reactions will emerge as likelihoods rather than certainties, since in sociopsychological areas no exact predictions are possible, nor can the model approach supply definite answers. All that can be reasonably expected are statistical approximations that will be obtained more easily and faster than without models.

In analyzing the data supplied with the aid of this model (which assists in asking the right questions and in looking for important correlations), the following factor

must be considered:

The analysis is carried out in terms of the perspective or point of view of the institution and the actors within it. They can view behavior as nomothetic, ideographic, or transactional, depending on whether or not the individual or institution feels that the behavior is autocratic and restricting, individualistic and disruptive, or something between the two.³

Perhaps it may be appropriate to mention at this point that basically the concept that is being applied in this study, has its roots in ancient philosophy. Aristotle and several other Greek thinkers would use the model of the human body when expounding their ideas on society and the state. The ruler was therein compared to the head, the various executive branches were the arms of this entity, and the slaves were usually the legs of such an organism. A look at the linguistic roots of our vocabulary will confirm that the word chief is indeed derived from the Latin term for "head."

While there are striking similarities between a social organism and the human individual, it must be kept in mind that the modern way to devise models differs in two essential details from the ancient approach. First of all, the anthropomorphic system has been abandoned in favor of a mathematical viewpoint; it is hoped that an

³Ibid., p. 48.

abstract reference will be less simplistic. Besides, it has been pointed out that the philosophers who spoke of a "head of state," the "arm of justice," etc., frequently used such terminology in order to preach certain ideas. Throughout history, worldly as well as religious thinkers tried to convince the masses that each social system needed a ruler, and that a supreme being necessarily had to preside over the entire world as this was the "natural order of things." A "headless" state would be without direction and could not survive. It appears that such arguments were used even in quite recent times, for instance, in Maoist China.

The unbiased researcher does not have such intentions when constructing a model. Not that prejudices have disappeared from the modern scene--this world is still full of superstitions and preconceived notions--but scholars who attempt to work in a truly scientific manner, want to explore and either re-prove or refute the validity of the symbolic edifices of the past rather than arbitrarily convince his audience. In other words, in a social setting, the purpose of this exercise should not be to prove that such an executive must indeed be the absolute ruler of his domain (nor the opposite, that he [or she] is a slave of the school board, or any other superior individual or body) but to analyze the functions of this

officer and to investigate which traits may be desirable when he (or she) is under certain pressures or confronted with demands. Of course, it will also be necessary to carefully define what is meant by "desirable" in a specific case, otherwise the prejudices that we tried to throw out the door, may creep back in through the window, so to speak.

Educational research is vital not only for the advancement of the individual who is often expected to "publish or perish" but for the entire system and its progress. Guthrie and Wynne explain:

An output orientation may greatly increase the amount and productivity of educational research. Currently, such research is only a comparatively marginal activity. Throughout America, one-half of 1 percent of all annual educational expenditures go into research; for industry, the equivalent figure is 3 percent; for health, 5 percent; and for defense it is 15 percent.⁴

Having indicated that in the social sciences, models are to be viewed and used as helpful symbols only, not as a precise representation of reality, and that they must be utilized to examine conditions or forces, rather than to serve as evidence for a position the researcher wants to get across, it will now be necessary to supply a typology

⁴James W. Guthrie and Edward Wynne, eds., New Models for American Education (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1971), p. 54.

of existing models. Basically these constructs are either geometrical or numerical and each of these systems has different advantages and drawbacks. Geometrical concepts are easier to visualize and can be presented graphically. On the other hand, a model expressed through an algebraic sample formula may afford greater precision, and allow for more than three dimensions through appropriate exponents, but it is completely abstract, and thus may tend to become a source of confusion. It is perhaps this latter quality that fascinates scientists to use them all the same, since an assertion such as "human intelligence works according to the formula $\frac{7V + n \times 8}{z \text{ factor}}$ " sounds awesome and convincing, and how could the layman ever try to prove it does not work that way? The question whether the scientist using such an obscure and complex figure is basically honest or possibly trying to "sell" a personal idea of his or hers, is not considered in this context, although bias does occur in scholarly work more often than the public suspects.

Because of the complexity of models and the difficulty that the layman may have in comprehending them, the researcher should use all viable ways to communicate with the community. Guthrie and Wynne comment:

Unfortunately, it is also sometimes true that some districts are not sincerely interested in reaching out to such parents. It seems that

such districts fear parents may try to hold them responsible for remedying all suffering and discrimination . . .⁵

Based on the above considerations, and granted that when precise results of a statistical nature are desired (which should be the only quest pursued in the social areas of research), it is quite proper to use models. The present study elects to use a geometrical figure as a working model for the problems to be investigated. This figure can be conceived as a regular solid consisting of two quadrilateral pyramids.

Since each of these pyramids has four triangular sides (the lateral faces), the triangles on the first solid can be used to represent basic personal character traits. Here the major areas could be labeled as follows:

- T 1. Interpersonal Relations (compatible--incompatible)
- T 2. Ways of Judging People (broadminded--narrow-minded)
- T 3. Approach to Tangible Objects (generous--parsimonious)
- T 4. General Disposition (optimistic--pessimistic)

The principal's traits should enable him to function most efficiently. What are his tasks in a small high school,

⁵Ibid., p. 67.

for example?

He is the chief executive of the individual school and his role requires that he carry both the administrative and supervisory loads. Administrative details often appear more urgent and pressing than supervisory activities; yet, ultimately, the success of both the school and the principal are to be measured in the increasing quality of the instructional program. As a result, the principal of the small high school commonly has the uneasy feeling that he is trying to do everything but should be doing more.⁶

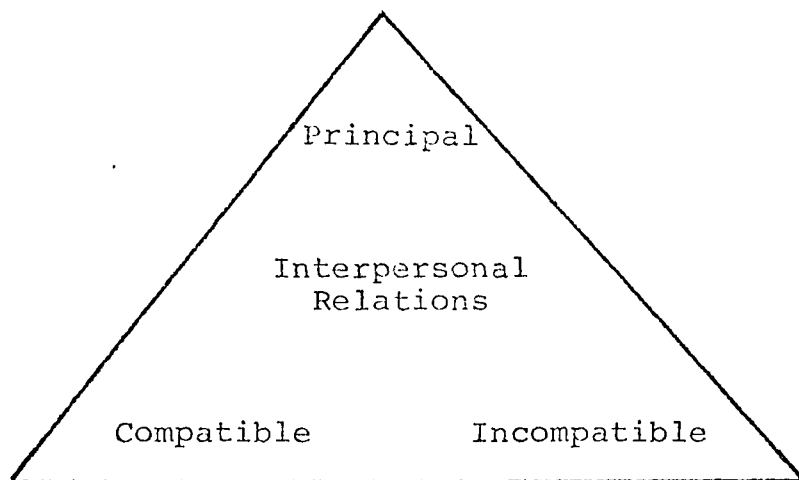
The four triangles on the other pyramid represent the major social forces which act upon a person such as the principal. These forces are the following:

- T 5. The Social Climate (idealistic--materialistic)
- T 6. Educational Setting (conservative--reconstructionist)
- T 7. The Community (progressive--traditional)
- T 8. The Family (democratically guided--autocratically ruled)

If we choose to call the top of each isosceles triangle P (for principal) the bottom left angle would be L, while the bottom right angle will be called R. These two angles are to be used for the respective extremes of the traits or forces that the lateral triangle represents. The bottom line is the scale on which the actual qualities

⁶Robert C. McKean and H. H. Mills, The Supervisor (Washington, D.C.: The Center for Applied Research in Education, Inc., 1964), p. 27.

or forces can be located. For example, in triangle T 1, the following picture emerges:

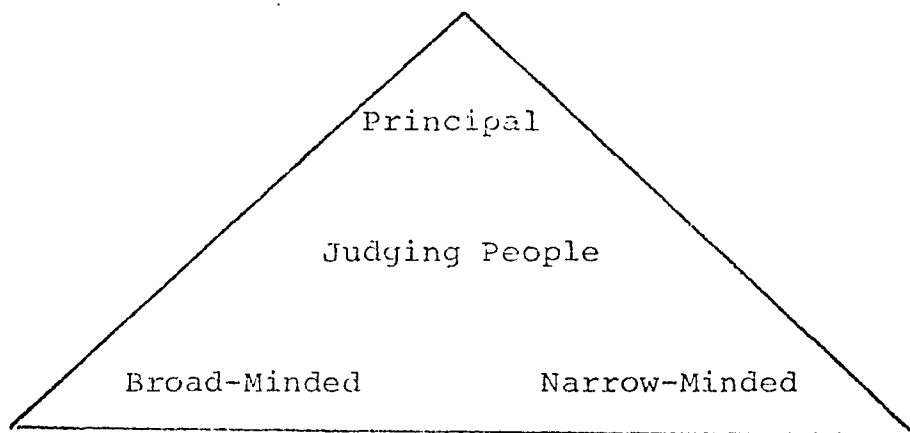


In dividing the base into 10 points (a purely arbitrary procedure), one obtains the scale on which this quality can be gauged. It should be noted that the extreme left, just like the extreme right, do not necessarily stand for good or bad. As a matter of fact, an individual who is too compatible, would basically have no personality at all and probably lack leadership potential as well. The liberal viewpoint would possibly rate #3 on this scale as coming close to the ideal. Similar observations apply to the other triangles concerning traits. In the triangles representing social forces, the ideal position on the scale may vary even more in line with the viewer's opinion: a researcher holding conservative views may consider #7 on the scale progressive--conservative as ideal.

Among the principal's main qualifications is the ability to lead and to inspire his colleagues. Why must the school executive be capable of leadership in order to be effective? According to Steven Kerr:

Current theories and models of leadership seek to explain the influence of the hierarchical superior upon the satisfaction and performance of subordinates. While disagreeing with one another in important respects, these theories and models share an implicit assumption that while the style of leadership likely to be effective may vary according to the situation, some leadership style will be effective regardless of the situation.⁷

With the lateral region labeled "Judging People," the triangle would appear as follows:



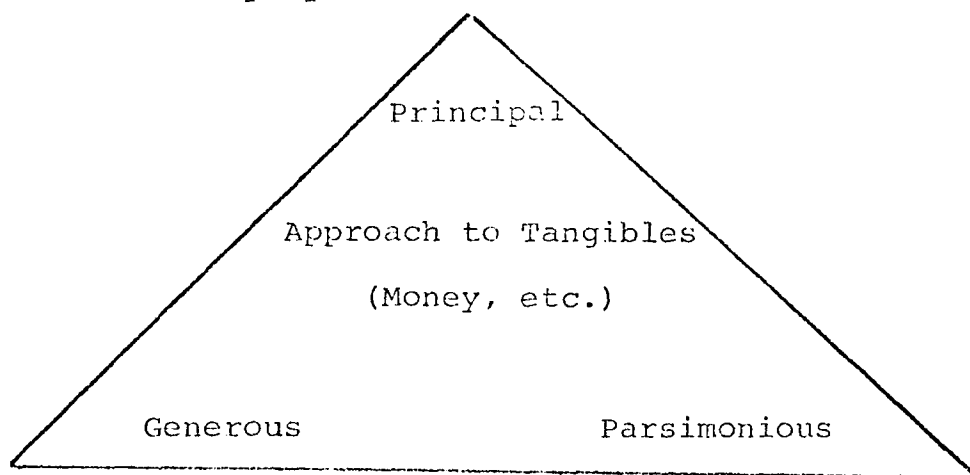
Again it is quite obvious that being extremely broad-minded is certainly not an ideal trait in this area. Here the

⁷ Steven Kerr, Substitute for Leadership: Their Meaning and Measurement, Abstract (Ohio: College of Administrative Science, n.d.), n.p.

precise location on the scale may be found somewhere near the center. In any event the principal must show professionalism in judging people as with any other approach he uses. Professional attitudes are as important on high school level as they are in the elementary grades.

As elementary school principals move toward increased professionalization (a. orientation to the client; b. orientation to the profession and professional colleagues; and c. belief that teachers should have decision-making authority), data related to aspects of decision-making and perceived leader behavior would have implications for preparation programs.⁸

The next triangle is T 3, which indicates a person's approach to things, particularly to monetary matters, today considered as being a typical representative for material values. Here the characteristic extremes were chosen in everyday terms:



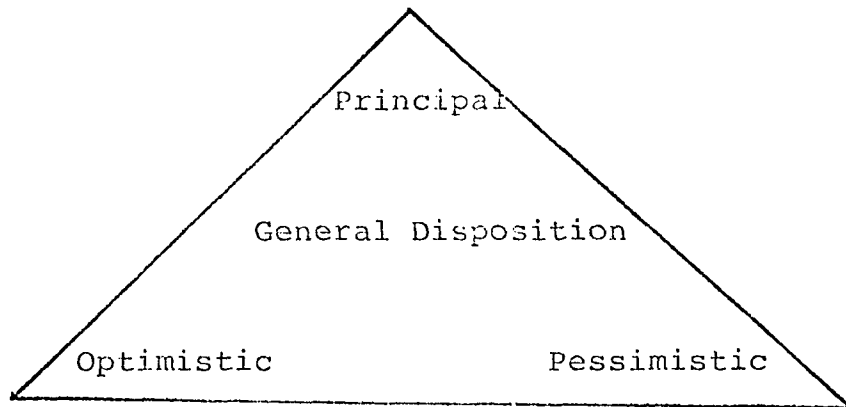
⁸"Organizational Role, Leader Behavior and Aspects of Problem Perception in Educational Administration" (unpublished Doctoral dissertation, The Ohio State University, 1974), p. 112.

Obviously, neither a lavish approach nor an overly parsimonious, fussy attitude would be ideal for anyone; the principal may best follow the middle-of-road approach in certain matters, perhaps slightly to the right when dealing with public funds, and somewhat more to the left on the scale when it comes to private expenditures of his own. Procedures involving different incentives could conveniently be discussed under this heading, even if they are not of a financial nature. Incentives are important but often lead to routing. According to Guthrie and Wynne:

This does not mean that a superintendent may not also provide incentives for high performance of a school, nor that a principal may not also provide incentives to his teachers and to the students for high performance, but rather that there is a general bureaucratic drift of incentives toward organizational equilibrium. It requires an additional incentive, imported from the outside, so to speak, to generate incentives toward learning rather than solely maintenance.⁹

The fourth triangle characterizes one's outlook on life. Here too, the ideal principal will have to find the proper stance somewhere between unbounded optimism and a bleak pessimistic view. The respective triangle carries the following labels:

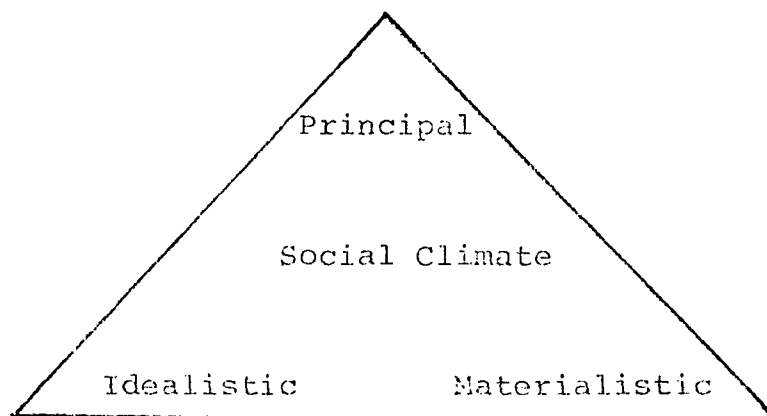
⁹Guthrie and Wynne, op. cit., p. 79.



The second pyramid to be examined is the solid exemplifying present-day social forces. Each of its triangles is to show one specific body aspect of the major social forces, and can serve to analyze the principal's reaction to these forces, in line with his individual personality traits.

Here are the four triangles T 5 to T 8 as presented:

The fifth lateral face shows social forces in their general configuration, as operating in the United States. It appears as follows:

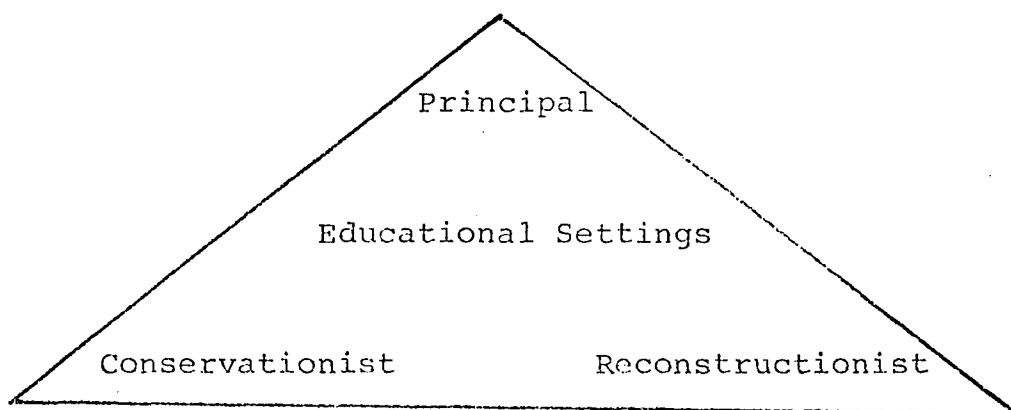


Obviously, each individual may view the same social setting in one way or another, according to the person's political concepts and personality traits. For instance, a certain percentage spent by a government for health insurance or aid to the unemployed may seem to one viewer to be wasteful, while another citizen may consider it inadequate. The principal's own reaction to such a configuration will vary according to his personality traits, and may be predictable to some extent. However, some basics apply in most situations. Since political and economic factors are closely related to the social climate, their impact on the principal's attitudes must also be considered. For instance, an educator with strong totalitarian leanings would hardly be recommendable for an area where numerous families of European refugees have settled during the past twenty-five years. The social climate may in turn also influence the principal's attitude when dealing with subordinates and peers. According to Nelson and Besag:

Role expectations are the specific behaviors which are expected of an actor because he occupies a role: whereas the role defines the actor's position in general terms (the teacher's role is to teach), the role expectation defines it in specific operational detail (the teacher's role expectation is to maintain order, teach history, and so forth). Need dispositions are

those internal satisfactions which the actor expects to receive from his participation in the institution.¹⁰

The next major area to be considered is the educational scene. Is the traditional, strict approach preferable, or is a certain permissive stance acceptable? The triangle showing this facet of the nation's life will bear the following captions:



The observations of Thomas and Brubaker concerning this pair of attitudes as outlined in one of their works, should be consulted in this connection.¹¹

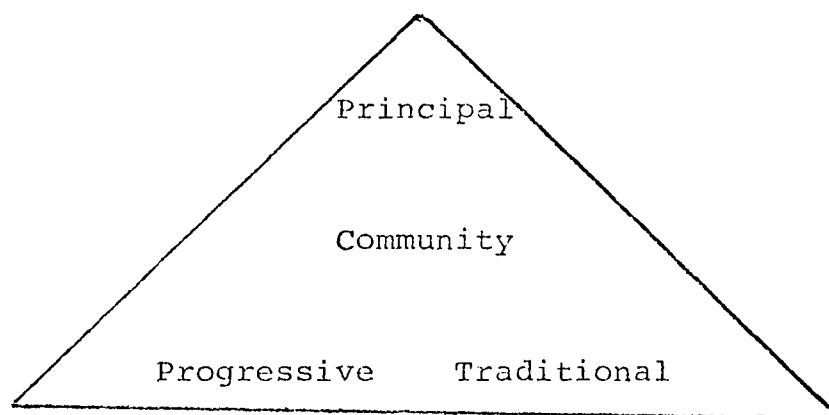
In a pluralistic society, each segment may differ to some extent from the national average. This idea has been acknowledged by the authorities and is welcomed by many

¹⁰ Nelson and Besag, op. cit., p. 45.

¹¹ R. Murray Thomas and Dale L. Brubaker, Decisions in Teaching Elementary Social Studies (Belmont, Calif.: Wadsworth Publishing, Inc., 1971), p. 23.

researchers. For instance, some communities (often in line with the geographical location of the respective state) may be more or less conservative than the national average. Many midwestern townships are considerably more conservative than certain metropolitan areas. Often this condition will reflect upon the educational standards and concepts of that community as well.

The graphic picture of this figure within the model would appear as follows:



Needless to say, it remains an open question whether conservative elements within a society can be considered more or less helpful and neighborly than their progressive counterparts. The nature of the community will most likely have a definite impact on the educational setup of the local school system, and will evoke different responses from principals with diverse traits. In most cases, a democratic solution to various issues appears preferable on the American scene.

It could also be assumed that an educator whose political ideas appear to lean towards dictatorial methods, may still be able to use a democratic approach as administrator in professional contacts with colleagues. In practice, such cases are probably quite rare.

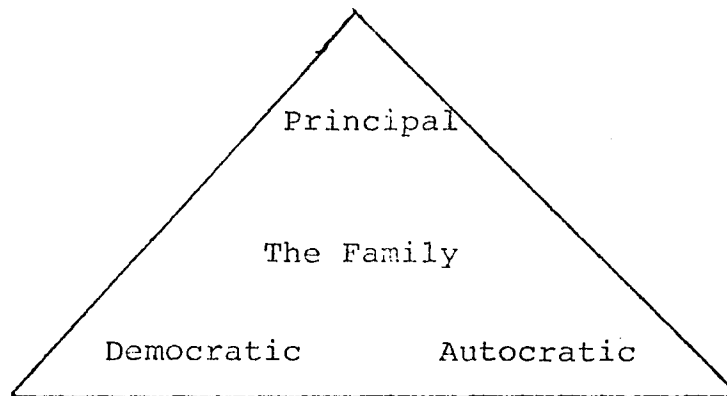
Today, autocratic methods have given way to a more democratic approach which often appears to border on the permissive without actually being lax. McKean and Mills explain by definition of threat reduction:

An essential condition of effective group process is the existence of a climate conducive to free and open exchange of ideas. A democratic and permissive climate frees the individual to think for himself, offer suggestions and comments, and propose solutions without exposing himself to threat of ridicule or rejection by the group.¹²

Finally, the family life within a community is also likely to differ according to location, size, composition of population, etc. Here too a principal is quite likely to show his reactions in line with specific personality traits. Such aspects to consider would be whether his own family life style coincides with that found in the community, or whether he has moved in after the community was established or was transferred from a different school system. The picture of the family style

¹²McKean and Mills, op. cit., p. 57.

predominant in the location of the principal's school can be as follows:



Needless to say, the terms "happy" or "unhappy" cannot be correlated to the above extremes in any specific way; for this aspect of life such feelings are likely to be a result of each individual's expectations concerning his or her mate's response to these conditions. By the same token, it is quite likely that each principal's degree of efficiency may be influenced by his own family life, which in turn may respond to the life style prevailing in his community. Ideal conditions in the principal's home and good rapport with neighbors are likely to promote a harmonious approach to his job as educational administrator, although certain types of personalities may work better under tension or when challenged.

The model as described so far has two characteristic features that make it more flexible and suited to fit various situations. First of all, while the eight

triangles described above indicate the major types of personality traits and the most important social forces likely to occur in North America, these figures may be replaced by others that are either conceptually related to the headings selected by this candidate, or constitute subdivision of these.

The free flow of communications is conducive to solving problems. Regarding the role of communications in democratic education, one source contains the following statement:

The true democratic dialectic is between the ethics of justice and open communications. This is to say that democracy is itself an ethical, not a natural fact--one of man's achievements, but the commitment to rationality is the ethical challenge.¹³

Incidentally, the role of nonverbal language is receiving greater attention in professional literature. Communications are not only of the verbal kind; many are implied through gestures, etc. Bridges states:

Furthermore, studies of executives at work show that non-verbal behavior is a significant medium of communication. Formal leaders, like others, apparently have interpersonal reflexes, i.e., spontaneous, automatic, and stable ways of

¹³R. R. Ready, "Leadership," Administrator's Job: Issues and Dilemmas (The Ford Foundation, n.d.), p. 123.

relating to others that are often independent of, or at variance with, the verbal content of their communications.¹⁴

For instance, the community climate triangle may serve to specifically examine the religious setting for a certain school along with its respective problems. Let it be assumed that the character of a certain township has been affected by the arrival of several hundred refugees from Southeast Asia, predominantly Buddhists who have settled in the vicinity. A superintendent is faced with the task of hiring a new principal for that town's school; he must select the most suitable candidate from among three contestants tentatively suggested by the county Board of Education. What traits should such a candidate display to make a choice particularly felicitous, and which attitudes would be likely to carry negative connotations?

One way to assess the most desirable applicant from among the three contestants would be to use the model, substituting an appropriate special triangle in lieu of standard T 7.

Another example for showing the flexibility of this model would be the subdivision of T 1 for separating a

¹⁴Edwin M. Bridges, The Nature of Leadership (Columbus, Ohio: Ohio State University, 1975), p. 23.

principal's ease of getting along with three groups with whom he will work--superiors, peers and subordinates. Although the general traits characterizing a candidate's ease of working smoothly with people may fit all three categories of colleagues, it is possible that one administrator may work well with superiors, but prove to have a less than perfect record in his attitude towards dependents. Here the basic triangle will have to be modified, taking individual problems or conditions into account.

For example, the relationship between a principal and his (or her) subordinates is not necessarily that of a boss to his employees. In controversies they often work as a team. Guthrie and Wynne believe:

Teachers can supply administrators with political muscle to resist important school change; administrators can supply the teachers with tacit support in their negotiations.¹⁵

The flexibility of the model also becomes apparent when the two pyramids are joined together at their bases to form a symmetrical solid and if they can swivel on an imaginary pivot; this positioning will allow for examination of each of the four major character traits (or specific subdivisions of these traits) when set against any of the social

¹⁵Guthrie and Wynne, op. cit., p. 51.

areas and their specific configurations, and for analysis of the countless possibilities that can be perceived. Of course, in the final analysis, even the best model cannot indicate what it has not been programmed to show. But it can demonstrate various possibilities and help channel the user's attention in the right direction, illuminating neglected areas of exploration and guiding concentration on the proper questions.

It could be asked whether the model resembles a computer in any way. It does if we keep in mind that even the most efficient computer can do only what it is taught to accomplish. In a sense, all the answers are implicitly built into the electronic brain. When we say:

$$3 \times 20 = 60$$

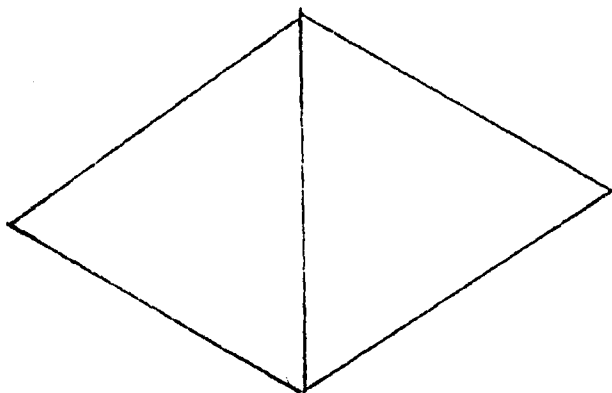
basically no new facts have been introduced. "Sixty" is simply another name for the quantity of items (cherries, apples, whatever) if we place three times twenty of any item into one container. This truism becomes obvious when dealing with elementary operations; but the speed and the uncanny flexibility, which can be built into modern electronic devices to make implied solutions become explicit within seconds, are definitely of help to the engineer or the astronaut. By the time a human brain could figure out when the constellation is appropriate for a shot to the

moon, this configuration would have changed due to the continuing motion of all celestial bodies. The computer's lightning speed enables us to make fast decisions, although the way to calculate has been built into the device by the same engineer who now depends on it.

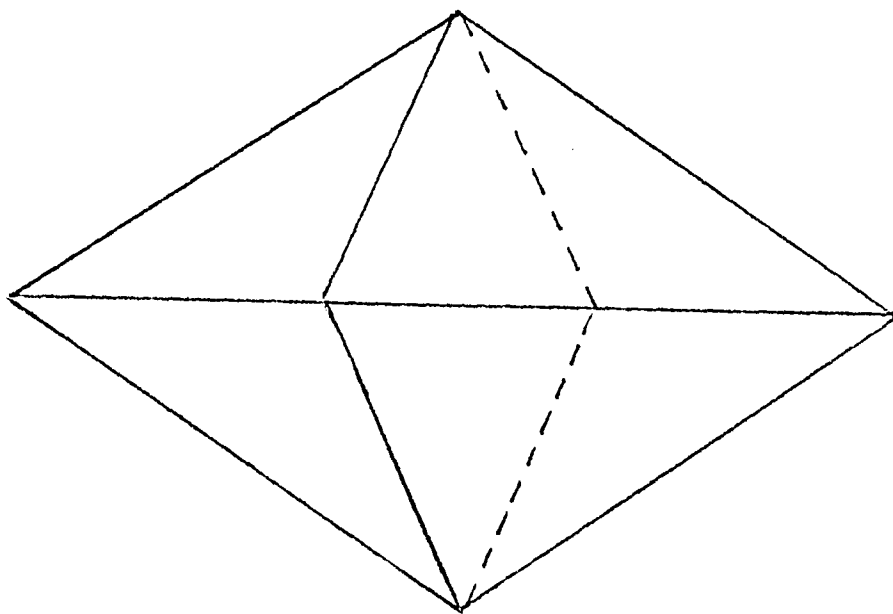
In the social sciences, a model does not "know" more than the scholar who planned it, or the programmer who uses it to derive scientific data. But considering that the number of facts that can be incorporated in such a model is virtually unlimited, the value of such a conceptual device becomes obvious.

Having explained the basic functions of this model, the writer will show how such a polygonal solid would look on paper. On page 116 there are two pictures, according to the angle of the viewer's eye. In these pictures, the right side rotates against the left half, emphasizing the equal importance of both segments.

Now the model in action will be discussed. Even in its static position the construct is of value since triangles forming its sides can be used by themselves to examine various problems; however, the dynamic possibilities of this educational model become more obvious and more visible when its two sections are rotated against each other. Rotation will permit each basic trait to be viewed against each major situation, by placing T 1, T 2,



Polygonal space figure seen exactly with line of triangle's base facing the eye.



The above figure seen after turning the entire solid 45 degrees.

T 3 and T 4 against each of the lateral faces T 5, T 6, T 7, and T 8. The terms "basic" and "major" in the previous sentence are used to indicate that the captions of these triangles will be left essentially unchanged; however, as previously pointed out, the variations that can be applied to each facet are theoretically countless, and by placing the four trait sides against each of the four situational faces, the results can help in visualizing an immense number of possibilities which should give the researcher an ample working arsenal of tools for the exploration of tasks, by filling in the known variables for each picture.

In reviewing the 16 positions, the first one to be discussed is T 1 against T 5. To further clarify this procedure, a lower-case letter of the alphabet with under-scoring can be used for each of these possibilities, so that its essential uses become better understood. The first configuration would be called a.

In this survey, a corresponds to T 1 against T 5, setting the principal's traits in Interpersonal Relations against the Social Climate. This rather broad correlation would be helpful in determining, for example, whether a fairly compatible school executive would be the proper choice for the principal's position in a materialistic social climate where practical values are appreciated

above ideal aims. Leadership qualities also come under this heading. The research procedure would locate the relevant data available that may have a bearing upon the case under examination. Statistical figures would be cited about the size of school, the grade levels it includes, and the type of orientation (academic, college preparatory, business or vocational emphasis, etc.). The results that can be obtained on the basis of these findings may help in reaching a well-founded conclusion which in turn could assist the regional authorities in making the best possible choice.

One of the most desirable traits for any executive is leadership, a point emphasized throughout many studies. In a principal, this quality is particularly valuable. How can it be defined?

The problem of the study of leadership is related, in part, to conceptual disagreement on the most significant variables. Studies on charisma, the didactic and/or prescriptive literature, leadership styles and situations, institutional role studies and follower response are suggestive of the emphases.¹⁶

The next step would pit T 1 against T 6, resulting in situation b. Here the task is to examine the Interpersonal Relations caption against the educational climate

¹⁶"Organizational Role, Leader Behavior and Aspects of Problem Perception in Educational Administration," op. cit., p. 39.

of the specific school. Is the institute under scrutiny known as a traditional high school, or has it been leaning during the past decade toward a more permissive policy? If so, how far to the "right" on the triangle's base? Again, the next step will entail filling in all the data available through the records, so that the variables may be properly determined and a realistic picture be drawn. Of course, it is quite in order to round out the numerical data through anecdotal facts; case histories concerning principals with uncommonly good (or poor) performances that seem to contradict the statistical trend, could be highlighted in aiding those called upon to reach conclusions.

Situation c shows the traits presented in T 1 against the background of T 7. Here we have one of the most interesting aspects of coexistence to be examined. How well a principal with certain personality traits fares in his daily contact with the local community (which comprises the parents of the children enrolled) can be more important than the authorities in the capital of the respective state, or the federal agencies located in Washington, D.C. When a predominantly conservative community faces the issue of busing, as suggested by Supreme Court decisions and required by Federal statutes, what resources does a local school executive have to find the proper solution acceptable to all, avoiding violent

opposition on the part of certain inhabitants or the threat of losing federal subsidies for noncompliance with the prescribed remedies? Which traits would enable the principal to satisfy most parents without antagonizing the Department of Education? Could such an administrator take certain steps that may appear less harsh thanks to a conciliatory personality, than they are? During the past two decades, these issues were among the most crucial ones in the nation's educational process, giving rise to countless controversies, tensions and outright conflicts. A look at the headlines of the daily press will vividly illustrate the difficulty of finding even temporary solutions to the problems posed by these matters. In such an atmosphere, a quiet type of leadership may be most advantageous. The effects of leadership are far-reaching, Ready says:

This definition includes intentions, behavior, and consequences. In including behavior and consequences, the definition is congruent with a functional approach to leadership: what persons do and what happens in the group or organization or society as a result. This definition also reflects the functional view in focusing on leadership events and in letting the focus of leadership as a characteristic of individuals follow as a frequency of the times particular persons engage in leadership events. "Thus, the group leader would be the person or persons who engage in more leadership events than others."¹⁷

¹⁷ Ready, op. cit., p. 90.

In d, the triangle T 1 faces the forces represented by T 8. On the surface many of the problems emanating from the community coincide with those issuing from the family. But there are sufficient differences between the two sides to warrant a differentiation. Religious and financial influences upon each family unit do not always parallel the impact these forces have on the community as such. It has often been found that in certain areas, the Catholic vote gives a majority to the socialist city fathers (or mothers); in some parts of Brooklyn, Jewish and Arab groups joined in opposing certain measures taken by the borough's board of education. The examples would be easily multiplied. Would a principal with specific ethnic or religious affiliations be more likely to do a good job in such a case, or is a "nondescript" administrator preferable in such a situation? How have compromises along similar lines worked in the past? If the feminist forces are very active in the neighborhood, could they be satisfied (or perhaps at least temporarily appeased) by having the vice-principal's position filled through a female candidate?

The combinations between T 2 and its counterparts at first glance may appear to be less important than those previously reviewed; however, a person's ways of judging people are decisive for his actions, and frequently

outweigh the traits discussed under Interpersonal Relations. A principal who mistrusts the policies of the district's superintendent, may be less capable of working harmoniously with such an executive; despite the frequent overlapping, T 2 is basically different from the other personality pictures.

It is possible that e may be less important than f, due to the geographical distance of the forces shaping the social climate of a period as compared to those determining its educational policies whose local representatives are more visible, so to speak. But the differentiation is valid and may be necessary as well as useful. Incidentally, judging oneself would come under this heading.

Evaluating one's own achievements and learning from one's mistakes is very important. Even automation has made this concept a focal point of operation. Guthrie and Wynne concur:

. . . researchers have observed that achievement-oriented personalities, doers, self-starters, innovators, are "very much interested in knowing how well they are doing. They like to work at a task which gives them a feedback."¹⁸

Let it be assumed that the president of a local board of education is a well-meaning businessman with considerable influence in the community, but without real

¹⁸Guthrie and Wynne, op. cit., p. 53.

understanding of its educational needs. It will be important for the principal to see through such a situation, trying to please this person and obtain the best possible deal based on his financial influence, while at the same time trying to keep the impact of this board in educational decisions at a minimum. This maneuvering may require tact and diplomacy related to the principal's positive traits in getting along with others, but without a keen ability to judge people properly, the administrator would be unable to make an intelligent assessment of the situation and to recognize the president as being somewhat pompous rather than ill-intentioned and antagonistic. This situation illustrates some of the possible problems arising from the juxtaposition of T 2 and T 6.

The relationship between T 2 and T 7 constitutes g in its everyday applications. Will the principal be prompt in evaluating the forces operating within the local community? Is there an antagonism between farmers and business people? The latter frequently resents government subsidies given to agricultural segments for "not planting certain crops." A rift in the local citizenry, although it has nothing to do with educational issues, could have harmful effects upon the smooth functioning of relations. Can the personal ability of the principal overcome such tensions? What traits are needed to achieve this

objective, according to relevant cases from past records? Can a democratic approach be of help? Would it be preferable to attempt bridging such a gap through an intelligent public relations program, or if the community is rather small, can one rely on direct contacts to achieve this aim?

The following statement by Edgar Dale reflects the new spirit that pervades many systems trying to create a more democratic climate:

The trend toward more humane attitudes in the school is evident in the recent practices of friendly, informal sharing of ideas and feelings in the classroom--both among students and among teachers. Team teaching and team learning are no longer viewed as a polite form of cheating. We are helping each other and trying to help children help each other. And why not? When we commit ourselves to doing something important of a civic or social character, we ask what we can do for and with others.¹⁹

The next step in this survey is to correlate triangular sides resulting in the letter h by combining T 2 with T 8. Situations under this heading closely relate to those discussed under the previous item, since Interpersonal Relations normally hinge on one's way of judging people, and the two traits are mutually interdependent.

A principal who is a poor evaluator of the families that live in his community may have difficulties in

¹⁹ Edgar Dale, The Humane Leader (Bloomington, Indiana: Phi Delta Kappa Educational Foundation, 1974), p. 5.

solving disciplinary problems, issues concerning the separation of religion and state, etc. In such instances, the ability to be compatible with various types of people in itself is not always sufficient to do an efficacious job; one must be capable of assessing the local atmosphere created by family units residing in the area. The size of the neighborhood has also become an important factor since the practice of integrating schools through busing and other procedures may bring students to an institute from as much as twenty miles distant.

The relationship between T 3 and T 5 shows the Local Climate and determines the financial policies of an administrator in the broad setting; it is here designated as point i. Needless to say, even where ample state or federal funds are available, a skillful executive must never become careless in his approach to materials to warrant the accusation of being wasteful. However, the label of stingy is just as obnoxious, and it will often be difficult for the school administrator to find the right balance. For example, the importance of spacious, airy rooms is well recognized as conducive to a healthy climate for studying. But how can a sound decision be made when the executive must weigh this factor against the necessity of hiring 25 percent more teachers and staff members to cope with an increased student population? Funds from

"above" may simply not suffice for both expenditures; can a temporary solution be found, such as tearing down two partitions between inadequately small classrooms, or employing some part-time instructors for the subjects in which their shortage is particularly crucial?

How can Educational Leadership be functionally organized in a school of medium size? The following plan on page 127 offers one possibility for such a setup.

Whatever decision the principal makes in allocating funds will have to be justified in times when teachers' unions, governmental committees and numerous other bodies exert pressures upon the school systems, it is not an easy task to find a satisfactory way of deciding issues or priorities without antagonizing any group.

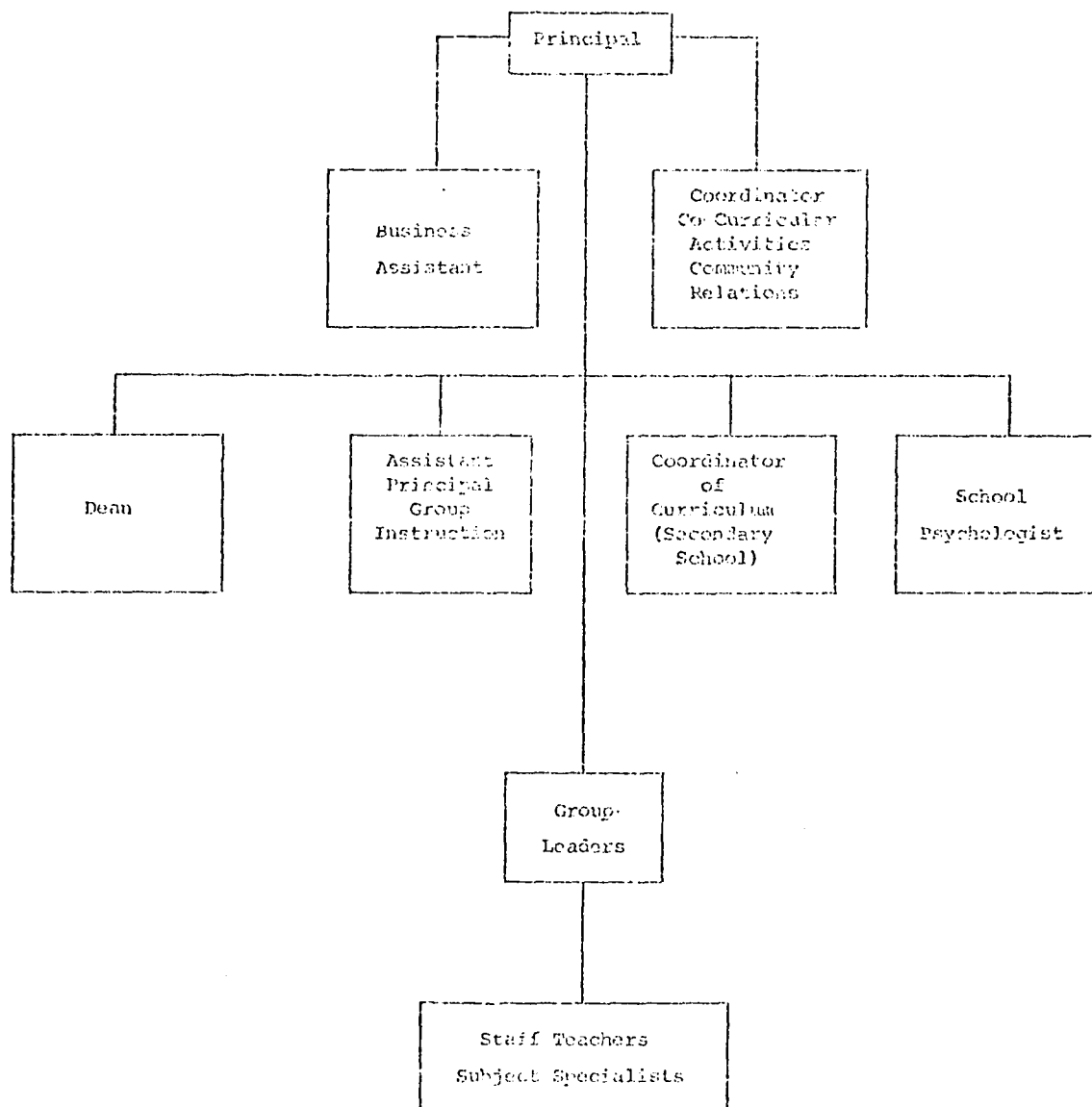
Point j deals with interplay between T 3 and T 6. Here conditions are similar to those discussed in the above paragraphs, except that the emphasis is on educational issues in a narrower sense. Should the monies available be allocated to purchase new textbooks or to acquire a modern projector with built-in sound equipment? How can one compare the relevance of audio-visual devices as opposed to higher salaries for teachers with better qualifications?

T 3 versus T 7 deals with issues similar to point i, except that item k will frequently examine problems

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²⁰Commission on Public School Personnel Policies in Ohio, School Leadership, Report Number Seven (Greater Cleveland Associated Foundation, 1973), p. 25.

relating to the local board of education with particular respect to fiscal matters. How can the increase in the school tax be justified without creating antagonistic relations? Is the community financially able to consider issuing a bond for supporting the construction of a new gym? If there are several competing contractors, should the concept of assigning the job to the lowest bidder be uppermost, or would it be preferable to find ways for having the company that could employ the largest number of local workers on its crew be awarded the contract? Of course, legal advice would have to be sought to avoid entanglements with the countless laws and regulations in this field, but it is very important to take the climate of the community into account.

It may also be possible for a principal to avoid part of the credit (and the blame) for financial decisions by hiring a budget director or a financial administrator for the district. Whatever the approach, sound management is always necessary. Of course, this solution is possible only if the size and population of the respective system are large enough to support the burden of paying the additional yearly salary for an expert with the ultimate responsibility of having hired the right person. Otherwise such a job would rest on the principal's shoulders.

How can educational management follow sound administrative guidelines? According to one source, here is a schematic plan:

One of the most vital areas for managers is competence in one-to-one relations both with subordinates and one's own boss. This . . . will focus on:

- Clarifying roles and expectations
- Working through authority issues
- Giving critical feedback
- Problem solving with subordinates
- Utilizing positive reinforcements.²¹

Trait T 3 viewed against T 8 constitutes item 1 (the letter not the digit). Here the ability of the chief school executive to handle financial matters in specific situations would be involved. For example, sex education is not only a controversial issue per se, but its solution has also budgetary aspects. Can the regular biology teacher handle this task in a manner satisfactory to all major segments of the area? Should outside lecturers be invited to address the students (and their parents--possibly as a separate audience), and can allocations from the budget for the respective expenses be "comfortably" justified? Another example would be the problem of school lunches. In an economically heterogeneous system, where public funds have not been made available for a certain

Dr. W. Warner Burke, Center for System Development (Arlington, Virginia: NTL Institute for Applied Behavior Science, n.d.), p. 10.

year, what steps can the principal take to provide a nourishing meal for each student in need of same, without making wealthier families feel that the sacrifice comes directly out of their pockets? What if a fraternal group offers to contribute part of the funds; can such a contribution be accepted without violating any of the citizenry's personal feelings?

The administrator's general outlook as defined under T 4 constitutes the last heading to be viewed in connection with the four types of social forces. T 4 against T 5, designated as item m, is a fairly broad category that may cover various problems. In times of crisis or transition, what steps can the principal take without arousing controversy? When a conflict with a neighboring country or with a world power looms on the horizon, should he take a militaristic stance, emphasizing patriotic virtues? Should he preach the necessity of maintaining peace at any cost, or can he (or she) manage to maintain strict neutrality, voicing an attitude expressed in a phrase such as "Let's hope for the best"?

Item n explores the general philosophy of the administrator as applied to educational issues (T 4 against T 6). Let us assume that the scores of seventh-grade students show an overall decline as compared to last year's results. Should the principal's reaction simply be "There

is nothing to worry about; these figures may go up one year just as easily as they go down the next year." Or should he voice genuine concern, attempting to save not only the school's reputation but the children's future, by trying to raise their scores so that they may not encounter major difficulties some time later when college admissions are at stake?

An organization, while describing a certain model designed for humanistic systems, makes a statement that can be applied to most rational constructs:

One distinct renewal strategy is found in the Rational model, which includes such developments as a systems approach to planning, management by objectives, and a rational approach to instruction. A second distinct renewal strategy is found in the Romantic model, which includes such developments as active involvement of the educational community in the planning process, participation management, and active student involvement in the learning process. Perhaps the greatest challenge in education today is to build on the strengths of these two models--the Rational and the Romantic--to bring about constructive educational change.²²

T 4 versus T 7, item o, concerns problems of the community and reactions they may elicit from the principal, according to his general outlook. Suppose a factory that had provided a large number of jobs to local residents suddenly closes down due to financial difficulties, or simply decides to

²² Battelle Columbus Laboratories, A Program in The Development of Humanistic Educational Systems, n.d., p. 2.

relocate in order to move nearer to its sources of raw materials. Such issues, viewed under the heading n could evoke different reactions: the principal could remain aloof, stating that since his only responsibility is to the local school system, he cannot get involved with economic problems of the community. On the other hand, he may initiate a move by the teachers who might decide that they are willing to take a 10 percent cut in their salaries for the next twelve months, if this alleviates pressures as far as the community's budget is concerned. Such steps may sound unrealistic, but similar events did occur in the past, thanks to a perceptive and concerned principal's efforts. A direct intervention of the top school administrator with the management of the factory may also be thinkable, though it is less likely to be successful.

Whatever the situation, it should be realized that efficiency is not enough; a dynamic, enthusiastic personality often has contagious results.

The principal, of course, must work to establish a favorable atmosphere for instructional improvement in his school. He hopes that the enthusiasm and interest which he displays will prove contagious and will impel the professional staff to seek positive change.²³

The final item, p concerns the relationship between T 4

²³ McKean and Mills, op. cit., p. 31.

and T 8. There is no doubt that the principal's personal philosophy, possibly as reflected in his own family life, may have repercussions in the life of the local citizenry. These effects would be more likely to be felt in a small community where personal contacts between inhabitants are somewhat closer than in a medium-sized or large city where the element of anonymity often prevails to the point that one tenant in an apartment house may hardly know his neighbors, even those that reside on the same floor.

But even in a similar setting, a principal's optimism (as long as kept within acceptable limits) can do much to touch upon the individual families whose children attend the respective school. Parent-Teacher Associations are still important groups, and each family can be influenced by its feelings toward the principal that may range from full confidence--even affection--to respect, to distrust, fear, or outright aversion. It should be stated again, though, that sound leadership may overcome many negative feelings. The reason that most people expect leadership qualities from an efficient principal is obvious.

The principal is responsible for the overall school direction and operation. He is perceived, positively or negatively, by his staff as the person who establishes the pace for the school's accomplishments. By virtue of his administrative

role, the school principal is in a position to exert positive influence as to the kind of educational program that is offered . . .²⁴

As indicated previously, the sixteen correlations are meant to supply a basic framework only; details must be filled in according to the issues under consideration, and the main advantage of this model is its simplicity combined with an uncommon flexibility. The absence of complex mathematical abstractions may be viewed by some thinkers as a flaw; it is hoped though that the educator and the sociologist with practical objectives in mind may consider the absence of these abstractions a definite advantage, and rely on the model to solve various problems, always keeping in mind that the output of a construct must rely for its data on the input; however, the advantages of feedback applied to the numerous ways of combining all elements will yield results that otherwise may elude even the intelligent researcher.

Here is one further observation to illustrate the virtually countless possibilities adding depth and breadth to the applications of this model: when charting a special situation on a triangle to be mounted on the respective panel, the use of transparent material will permit the

²⁴Robert L. Reichberger, "Creating The Climate for Humanistic Change in the Elementary School with Principal Change Agent," Education, XCVI (Winter, 1975), 106.

researcher to utilize several layers pasted on top of each other, each one containing different levels of data in related fields, just like textbooks of anatomy often contain transparencies, showing the skeleton, the circulatory system, the muscles, etc. on top of each other, yet visible at the same time. Viewing two or more such layers overlapping one another offers the advantages of an added dimension to the benefits of having information on different levels at one's fingertips in a very real way.

It must be emphasized that the utilization of feedback is never automatic but must be directed by the researcher towards the right spot in programming the sequence of considerations. While the term "feedback" is used by Thomas and Brubaker in a somewhat different sense, it would appear that the implications are similar to those of the present study.²³ The model will not replace the social analyst, just as automation does not make the human mind superfluous, but shifts its tasks to higher levels.

²³Thomas and Brubaker, op. cit., p. 158.

CHAPTER IV

CONCLUSIONS AND RECOMMENDATIONS

The study undertaken by the investigator has basically confirmed the hypothesis as stated in the proposal--that models devised for research can be of great advantage in analyzing educational problems, in particular the changing role of the school principal as educator and administrator.

A survey of the pertinent literature has illustrated how many outstanding writers feel about the principal's personality traits, especially his (or her) decision-making role and its impact on educational issues. There appears to be agreement about the need to take into account the principal's attitudes and how they function within specific social climates and geographic settings. While there is some disagreement on certain details, as indicated in Chapter II of this dissertation, the majority of authors believe that the advent of a more democratic trend in American education calls for sympathetic traits on the part of administrative executives within the school system; whether in some instances an authoritarian stance may be justified or whether in certain situations a more diplomatic approach is called for, the desire to solve

problems in a democratic manner is better suited to modern ways of thinking in our country.

Based on recommendations by various experts about the role and requirements of models, the investigator has presented his own construct, hoping that it will meet theoretical expectation as well as practical needs. This model, as described in detail in Chapter III, appears to offer many possibilities as a research tool for the use of scholars and consultants as well as agencies involved in decision making, especially in connection with staffing or reorganizing the offices of the principal.

To advance general recommendations for the benefit of fellow educators may appear somewhat presumptuous. Therefore, let it suffice to emphasize the need for the continuous refinement of the tool here submitted, along with careful scrutiny of all variables that may be relevant in a specific situation. In some instances it may be advantageous to have one researcher determine the variables and the respective data, while another scholar studies them in their interplay on the model. This procedure might help to avoid overlooking or neglecting certain important aspects or areas, a danger often present because of subconscious prejudices on the part of an individual in charge of conducting a project.

Another recommendation is also somewhat basic; it underscores the necessity of assigning proper "weight" exponents or keys to every scale used in the model. Determining the correct numerical value of such keys is a difficult task which must rely on societal insight.

The following pages retrace here the main steps in obtaining the findings and present the conclusions based on this study; the justification of the items recommended should emerge as an obvious corollary from the survey.

* * * * *

Chapter I

Change is a basic attribute of any organism, and American society is no exception. The present dissertation deals with changes in American education, and more specifically, with the effects that innovations have had on the role of the principal as leader and administrator; his interaction with both staff and the community and school boards concerned; and the importance of the principal's personality in conjunction with his role as an administrator and educator.

During the past few decades, various controversial issues have become prominent. These include the impact of the women's movement, racial inequality, and meeting not only the academic needs of students, but also their

personal and social requirements. As curricula and teaching methods are geared to meet new demands, so too must the role of the staff which implements them change. The principal as administrator of any such program is most affected. No longer simply an unquestioned authority figure to teachers and students alike, his (or her) evolving status "exemplifies educational reconstruction."¹

Principals' tasks are not easy. Answerable to the community, his students, his peers and overseers, he sets the goals of the school accordingly. He has the opportunity to act as a catalyst for dynamic change, through extensive cooperation; he may, on the other hand, retreat from the challenge and revert to the role of a principal of earlier times, playing the inaccessible "boss." Depending on his specific personality and the community in which he works, either choice may be made. Recent studies indicate, however, that principals, in general, respond to the atmosphere about them. Despite personal preferences, they try to adapt to the obvious needs of all involved--teachers, students, parents, school boards. The administrator's effectiveness is enhanced, moreover, by his receptivity to ideas. His (or her) leadership, then, is

¹ John Bremer, "Power and Principalship," National Elementary Principal, LV (November-December, 1975), 18.

marked not as much by the ability to give orders, but more by his ability to lead and guide a peer group, in a give-and-take atmosphere, toward cooperative problem-solving techniques.²

Adding to the delicacy of the job, the school administrator is also faced with external demands unheard-of in the past.³ Parent groups, teacher unionization, and legal decisions, to name a few, make his role as administrative mediator and leader more difficult and challenging. Old and new concepts of this position must be synthesized, and the principal can react either negatively or positively to the ever-changing concepts around him. He may retreat or resist and become not a catalyst for positive growth, but a mere figurehead. He can, conversely, adapt and deal as effectively as possible with any given problems, and be a humane and capable manager.⁴

²R. M. Stogdill, "Personal Factors Associated with Leadership: A Survey of the Literature," The Effective School Principal (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1963), p. 71.

³William L. Garberina, Sr., "The Principal as Power-broker" (paper presented at the Annual Meeting of the American Educational Research Association, Washington, D.C., March 31-April 4, 1975), p. 20.

⁴William W. Wayson, "A New Kind of Principal," National Elementary Principal, L (February, 1971), 14.

As education and its participants have changed, it is obvious that the role of the principal will continue to evolve. In order to speculate as concretely as possible as to what might be expected in the future, researchers like to use various models. Some of these constructs may resemble maps; the best example of a practical model is the classroom globe. It allows us to examine something we cannot actually show to the students. Other models perform similar functions, either mathematically or geometrically; they reflect abstractions and allow the scholar to visualize them the best he (or she) can. By collecting data and systematizing it, various hypotheses present themselves, from which one can venture forth in the inquiry process.

Since models must express factors and variables in a quantitative manner, they enable the researcher to objectively analyze data. If, for example, one wished to determine the ideal ratio of the number of students to one teacher in an art class, one could take existing figures dealing with ratios in a class which does not require the close interaction of the art class, and allot 25 percent fewer students to each class. By using this method one can systemize the process, especially if the data are computerized.

This method can be applied in examining the role of the principal. It is useful not only in cases involving

the number of people needed to make school administration effective, but in situations where personality traits are involved. For example, a new principal is needed in a given district. There are three candidates and the superintendent of schools wishes to make the best possible choice. He (or she) will compare not only years of service and academic status, but will use the hypothetical model which might include consideration of the following: working relationship with peers and superiors, and popularity with students and parents. The model could be broken down further by polling students, for example, to see if the proposed individual, in his last post, was feared or respected.⁵ Such an undertaking could be quantified by rating, say, on a scale of one to ten. The model could be further refined by arranging the results as to respective importance (e.g., the board of education's evaluation rated higher than popularity with students) concerning a specific issue, such as pay raises. A final consideration is the length of time a candidate has been in his former position. Has the candidate displayed stable behavioral patterns over the years? If a younger candidate, have relationships with peers improved? This

⁵F. E. Fiedler, "Leadership--A New Model," Discovery (April, 1965), p. 273.

time element may give the model a third dimension.⁶

The specific model, therefore, serves a purpose that a single employment sheet or even a bulky dossier cannot meet. In connection with gathering data, questions do arise as to confidentiality; permission might have to be granted by school boards to conduct polls and computerize the various results. The model, though not infallible, allows the researcher to systemize diverse data.

Chapter II

As previously noted, change is a concomitant, perennial factor in education. This study deals specifically with elements of change at the primary and secondary levels, examining their impact on administration, curriculum, teaching methods, etc., and the changing role of the principal "as a correlative agent,"⁷ often as a result of personality traits.

The principal and the influences which surround him do not exist in a vacuum. The popular view of the principal as a hero or villain often ignores the real working

⁶R. L. Meir, "Exploration into the Realm of Organization Theory: The Stimulation of Social Organization," Behavioral Science, VI (1961), 232.

⁷See page 29, first paragraph.

relationship surrounding a school.⁸ The successful principal must, in fact, develop a capacity to absorb the changing environment about him and utilize it. An interesting aspect is that while the administrator must acknowledge new developments, he is, at the same time, potentially an agent for bringing about change. This position is truly unique and acknowledgment of these symbiotic factors often enables groups and individuals to improve.

Basically there are four types of change within a given system:

1. Change may occur when the environmental climate is right, community support is evident, and the necessary resources are provided.⁹

2. Alterations which come from within the system can be dealt with if the administrator forms a cohesive working group while acknowledging different personalities. Interpersonal relations in this type of change present a variable which is crucial to the group's success.¹⁰

⁸Dale L. Brubaker, Creative Leadership in Elementary Schools (Dubuque, Iowa: Kendall, Hunt Publishing, 1976), p. 20.

⁹Robert L. Heichberger, "Creating the Climate for Humanistic Change in the Elementary School with Principal as Change Agent," Education, XCVI (Winter, 1975), 106.

¹⁰C. A. Gibb, Leadership (Middlesex, England: Penguin Books, 1970), p. 15.

3. Rapid change or "second order change strategies," a type of implosive flux,¹¹ usually occurs when younger members of the group outnumber older members.

4. External change can have great bearing on school curricula (e.g., in an area influenced by community control).¹²

Another factor bearing on the principal's position is the increased feeling of professionalism of today's teachers. Unionized and more educated than ever before, they no longer view the principal as ruler over either their private or professional actions. This attitude in turn, can lead to either increased give and take in a school, or to a power struggle. Where the principal's authority was unquestioned in the past, now he (or she) is subject to pressures on these counts.¹³ His (or her) ability to lead, then, is built upon the capability to adapt.

Recent court rulings also affect the administrator, especially in regard to minorities, women's rights, and teacher demands. Knowledge of judicial guidelines is

¹¹Dale L. Brubaker, Two Views of Educational Change Strategies (Greensboro: University of North Carolina, n.d.), p. 5.

¹²Ibid.

¹³Garberina, op. cit., p. 24.

essential if the principal wishes to avoid the possibility of legal action. This type of tension can sometimes be demoralizing, especially if administrator and teacher are poised for battle. Children see and sense the lack of cooperation and respect, and school conditions may become chaotic if the emphasis is not on learning.¹⁴ The school staff, acting in loco parentis, and the principal, as its administrator, have a responsibility which cannot be avoided through political confrontations.

Perhaps the most demanding external factor affecting the principal has been that of racial inequality and its resultant problems. The principal must deal not only with curricular changes in this respect, but also have good public relations with the community he serves concerning these issues.

Desegregation has affected black educators themselves; despite pressure, the number of black administrators has remained disproportionately low.¹⁵ Although, through the Fourteenth Amendment, judicial guidelines have been set, enforcement has always been more than difficult:

¹⁴Bernard S. Caunes, ed., Pro-English Learning System (New York: Grolier, Inc., 1976), pp. 161, 178.

¹⁵Patricia Hansen Lutterbie, "Black Administrators: Winners and Losers in the Desegregation-Integration Process" (paper presented at American Educational Research Association Annual Meeting, Chicago, Illinois, April, 1974), p. 13.

schools are run by the states, and the guidelines set down are generated at the federal level. Even when legal action is initiated by the federal government, it is generally a long, drawn-out, and often unsavory process.¹⁶

Political aspects too have great impact on what the principal does. What more visible symbol of public support is there than the school for which the public pays? When funds are tight, and the schools are accused of squandering taxpayer dollars, the principal is generally caught in the middle of the turmoil. The political sphere, moreover, never stands by itself, but is always intertwined with social and economic factors (e.g., community control, state lotteries). The combined impact on school operation is unquestionably strong.¹⁷ Politics on the federal level often determines not only funding, but also curricula. An example can be seen in the great stress laid on science in the schools when the space race began in the late 1950's (National Defense Education Act, 1958).

As can be seen, all of these factors put the principal under considerable pressure. Some feel that, in order to counteract this force, the principal should

¹⁶ Nelson and Besag, op. cit., pp. 141-43.

¹⁷ Ibid., pp. 139-40.

initiate his own, specific program for his/her school;¹⁸ others state that this role should be that of middle manager.¹⁹ Whatever the alternatives, the administrator, in dealing with the task of reconciling professionalism with bureaucracy is exposed to a great deal of tension.²⁰ Under certain conditions, the best choice for the administrator may be that of middle manager. As pointed out, however, change is omnipresent, and the principal's role will generally respond to the climate about him.²¹ Social and philosophical aspects are quite important: it has been shown that the types of problems to be handled are closely related to the socioeconomic setting of the school.²²

¹⁸Ray Cross, "The Principal as a Counterpuncher," National Elementary Principal, LI (October, 1971), 27.

¹⁹John McManama, "Middle Managers Wanted: Apply Here," National Elementary Principal, LIII (May-June, 1974), 60.

²⁰Robert K. Merton, "Role of the Intellectual in Public Bureaucracy," Social Forces, XXIII (1945), 405. See also Ronald G. Corwin, Militant Professionalism: A Study of Organizational Conflict in High Schools (New York: Meredith Corp., 1970), p. 142.

²¹Harold J. Leavitt, Managerial Psychology (Chicago: University of Chicago Press, 1972), p. 218.

²²Lynn N. Nicholas and others, Effect of Socio-economic Setting and Organizational Climate (Detroit: Wayne State University, 1965), p. 152.

One societal aspect having great impact on the administrator's role is the evolving attitude in management philosophy. Prior to World War II, before personal or emotional needs of teachers became objects of consideration, the principal was basically a supervisor and controller of his charges, both instructors and students.²³ Through the '40's and '50's, however, the human needs of those involved came to the forefront, and a "smooth growth curve in learning [was] promoted."²⁴ Difficulties in discipline and competition were often eased by the more humane and cooperative approach.²⁵ Some feel that the ever-changing role of the principal diminishes his authority; others view the role as becoming increasingly more

²³Mabel C. Purl and Judith Dawson, "An Analysis of Some of the Effects of 'Schools Without Failure'" (paper presented at American Educational Research Association Annual Meeting, New Orleans, Louisiana, February 25-March 1, 1973), p. 9.

²⁴James S. Swift, "The Origins of Team Management," The National Elementary Principal, L (February, 1971), 31.

²⁵Purl and Dawson, op. cit., p. 201.

leadership-oriented and hence, more important.^{26, 27}

The data presented are obviously voluminous and complex. In order to effectively evaluate them, utilization of the previously mentioned models are most helpful. There are several different kinds of models; three-dimensional devices, like those used by architects; models such as the polling process which provide answers to intangibles; and mathematical models, which have become increasingly popular since it does not depend on subjective judgment. The latter construct has been enhanced by the increasing use of computers, which are able to synthesize information faster and more accurately. While this approach is obviously most objective, some researchers feel threatened by dehumanization in its application.²⁸ Since, however, change is a constant in education, needs must be projected; for example, when contemplating a procedure such as

²⁶William J. Gauthier, Jr., "The Relationship of Organizational Structure . . ." (paper presented at the Annual Meeting of the American Educational Research Association, Washington, D.C.: March 30-April 3, 1975), p. 36.

²⁷Richard W. Saxe, comp., Perceptions of the Changing Role of the Urban Elementary School Principal . . . (Toledo: Toledo University, 1970), p. 23. See also Robert C. Blackmon, ed., Changing Behaviors and Values: The Educational Administrator in American Society (Lincoln, Nebraska: National Conference of Professors of Educational Administration, 1969), p. 129.

²⁸Nelson and Besag, op. cit., p. 10.

decentralization and its impact, the model can be helpful in determining a course of action. This particular trend in education has definitely affected the principal's function, since he is no longer answerable simply to his supervisors. Some feel decentralization is a plus in the administrator's role; others find that the principal will be reduced to a mediator, struggling to hold dissonant factions together.²⁹ Each group of researchers uses specific models to support its conclusions. Recent data indicate, however, that the more democratic the leader, the more effective he (or she) becomes.

Since the elusive quality of leadership is of crucial importance, models have been devised attempting to determine what traits comprise leadership. Stogdill employs a construct testing various personality traits (e.g., intelligence, achievement, etc.).³⁰ Leavitt, on the other hand, describes leadership as a "set of functions" performed by a nonspecific individual,³¹ who responds to group conditions. Other researchers using models have set out to determine the question of leadership ability vs. leadership as a set of functions. Their conclusions may differ; the

²⁹Cross, op. cit., p. 82.

³⁰Stogdill, op. cit., p. 89.

³¹Leavitt, op. cit., p. 217.

use of models, however, makes their data clearer and more readily available to the researcher.

It is evident that the principal is often in a position which requires decision making. Here too models are quite useful. By gathering data, formulating hypotheses, experimenting, obtaining results and applying a compatible theory, the administrator can objectively choose a course of action based on fact.³² It should be kept in mind that simply making decisions "correctly" is not the only consideration. While these decisions might solve material problems, they may conflict with an overwhelmingly upper-middle class board, or perhaps hurt minority parents and students.³³

Coupled with decision making is the ability to implement those options, a crucial part of the administrative process. Both are sometimes hampered by ignoring the basic decision-making model proposed by Lindblom which includes: (1) time pressure; (2) cost of obtaining adequate information concerning acceptable goals; (3) pleasing all groups involved; (4) structural features which

³²Bachrach, op. cit., pp. 55-56.

³³Nelson and Besag, op. cit., pp. 132-33.

frustrate plans; and (5) constraints of political feasibility.³⁴

One method of training people to deal with these problems is simulation. Here, educators can learn, by trial and error, what works, and what does not, while applied in a controlled environment. Provided with various models and adequate information, the subject can develop decision-making skills and apply them in a practical manner.³⁵ Behavior patterns on the part of the educator can, moreover, be identified. For the novice, the experience of the simulation model is invaluable; for the experienced administrator, problems not yet approached can be realistically tackled.

There are other models dealing with the role of the principal as leader, member of a working group, and manager; all however, illuminate ways to make such executives more effective on the job.

Chapter III

According to Nelson and Besag, theoretical models are constructs within "social systems against which reality

³⁴Charles E. Lindblom, The Policy-Making Process (Englewood Cliffs, New Jersey: Prentice Hall, 1968), p. 54.

³⁵Jack Culbertson, "Dissemination of Information About Materials" (unpublished paper, University Council for Educational Administration, September, 1972), p. 89.

can be tested."³⁶ They are not intended to provide set answers, but to supply helpful symbols in examining a given situation. Two major types of mathematical models exist--geometrical and numerical. The former is easier to visualize; the latter is more abstract and depends upon the use of algebraic formulas. For the present investigation, the geometric model of the quadrilateral pyramid will be employed, using two four-sided pyramids.

The first of these models deals with the personality traits of the principal himself. Each lateral face (called T) identifies one behavioral aspect, and contains an arbitrarily rated scale of behavior (gauged on a 1 to 10 basis). The four sides of the first model are identified thus:

T 1--Interpersonal Relations

T 2--Ways of Judging People

T 3--Approach to Tangibles

T 4--General Outlook

The top of the isosceles triangle is P, the left and right angles L and R respectively. The base is divided into 10 points; neither side denotes a good or bad rating, although we perceive some qualities as positive, others as negative. In the first instance, in fact, if a principal is too

³⁶Nelson and Besag, op. cit., p. 13.

compatible he may be ineffectual. An acceptable rating in this case might be 3. T 2 deals with ways of judging people, and this lateral face would be labeled as such with "broad-minded" and "narrow-minded" on the scaled base. Professionalism on the principal's part is a key factor here as this aspect calls for (a) orientation to those served, (b) orientation toward colleagues, and (c) belief that teachers should have decision-making authority within their domain.³⁷ The principal, then, must strike a note between broad and narrow-mindedness in order to exercise appropriate leadership capabilities. T 3, approach to tangibles, has as its base "generous--parsimonious." Incentives can also be included under this head; for instance, a dynamic approach to increased learning in a school, can turn it from a state of indifferent equilibrium into a real learning environment.³⁸ T 4, in viewing a principal's general outlook on life has as its base "optimistic--pessimistic." Generally, a well-balanced individual will fall somewhere between these two extremes.

The second pyramid exemplifies present-day conditions, and their impact upon the principal's personality.

³⁷"Organizational Role, Leader Behavior and Aspects of Problem Perception in Educational Administration" (unpublished Doctoral dissertation, The Ohio State University, 1974), p. 112.

³⁸Guthrie and Wynnee, op. cit., p. 79.

The faces of this solid deal with the following:

T 5--Social Climate (including economic and
political factors)

T 6--Educational Concepts

T 7--Community

T 8--Family

T 5, the Social Climate, contains the pair "idealistic--materialistic." The climate and the principal's reaction to it is an integral part of how well he (or she) can handle his job. T 6 deals with the educational scene. Is it "permissive" or "traditional"? T 7 closely follows T 6. Is the community progressive or conservative? If, for instance, one lives in a small, rural community, it is more than likely that the schools will tend to be traditional. A principal from another area must be aware of the climate of his new community in order to effectively carry out his role. The final lateral face, T 8, examines family life in the community ("loose"--"close-knit") and the principal's own family situation in that community. Where families are generally close, the educational environment may tend to be more harmonious, for the contentment of the administrator's family has bearing on the principal's actions. These eight facets can, moreover, be replaced by others which are conceptually related or which constitute subdivisions of the above.

The model in action is its most important feature. By rotating T 1, T 2, T 3, and T 4 against T 5, T 6, T 7, and T 8, we can see how an individual might act in several different circumstances. (As noted, variations can be applied to the lateral faces, giving the researcher an immense number of possibilities to explore.) The model can also be objectified on paper to simulate a three-dimensional solid.

To examine its possibilities in action, we could place, for example, T 1 (Interpersonal Relations) against T 5 (Social Climate). This configuration, using an underscored lower-case letter, is called a. In this instance, those in a rather idealistic school district geared, say, to open-classroom techniques may want an individual who is quite flexible and compatible, while displaying leadership capabilities.

These capabilities are perhaps most obvious in placing T 1 against T 7 (Interpersonal Relations versus the Community), which results in situation c. We are all aware, in recent years, of the turmoil in schools over busing. The administrator must comply with federal guidelines; he (or she) must deal with the people served; and he must be capable of working with all groups in a leadership role--a very delicate situation, to say the least. The effects of that leadership can be crucial, since the

principal must state his intentions, act on the problem, and deal with the consequences.³⁹ The number of possible interactions in matching and rotating the model provides illuminating results in pitting a given individual's personality against the climate in which one must work.

Another aspect of the model, flexibility, can be shown in a subdivision of, for example, T 1. The candidate may display ease in working with superiors, but may also be known to have difficulty dealing with teachers. The basic triangle can be modified in order to evaluate several aspects. Combining the flexibility of the model and extending the comparison of all its lateral faces make the search for a possible candidate somewhat more concrete. The sixteen resultant correlations provide a framework in which that flexibility is a key factor. Some may find the lack of mathematical formulas undesirable; the geometric model, however, is one which can be concretely set up like a plastic model of the human heart, and visually perceived. It is, therefore, easier to use.

Recommendations

As this study has shown, ever-changing trends in American education demand attention and action. The

³⁹Ready, op. cit., p. 90.

educational community in general, and the principal in particular must assert leadership in guiding the nation's schools through various dilemmas.

Some of the problems to be considered on today's scene are serious and will have a lasting effect on tomorrow's educators and the children they guide. Busing and integration policies, for example, are explosive issues that have divided entire cities into armed camps. Decentralization, as illustrated by the still controversial New York City experiment, remains an unstable issue. There are the all-too-familiar dilemmas like the role of sex education in the schools: open versus closed classrooms, corporal punishment, teacher safety and rights, budgetary versus curriculum needs, and student rights. From every side there are demands and conflicts, and while some communities may be relatively stable, other sometimes cannot operate because of division on these issues and others.

As external needs and pressures change, so too does the role of the educator and the administrator. Today's principal, as opposed to his predecessors has before him several roles to fulfill. As an administrator and manager, he is no longer just a "boss." Like his counterpart in the business world, the principal has budgetary needs to consider, and must be able to project,

somewhat, the funds needed for the goals he wishes to pursue. His job calls for the maintenance of a smooth-running staff in order to operate efficiently. He also manages the physical plant itself, the school building, and its adjuncts. Curriculum needs must be assessed by the executive, and in doing so, he must be aware of changing trends in education and the particular needs of the students in this community. Finally, he is a manager of a large staff of teachers, who, because of rising professionalism, are more peers than subordinates.

At this point, another facet of his (or her) role enters, one which is closely related to his personality--the principal as mediator. The evolving role of the principal calls for a democratic and working relationship with his teachers. By listening to their ideas, evaluating them, and respecting their knowledge as professional educators, the principal has the opportunity to take the best of those ideas, implement them, and perhaps upgrade the quality of his school because of them. If, due to his own personality, he is unable to be receptive, the quality of his relationship with his staff may suffer, and in turn, the atmosphere in his school. If personal beliefs can be set aside, however, all parties will enjoy the benefits.

This mediating role extends, in the 1970's, beyond the school. The principal must answer to the board of

education and other supervisors who allot funds and approve programs. If teachers feel strongly about instituting a certain program, the principal will secure funding and approval, and must approach his supervisors in order to initiate such a program. Studies have shown that boards of education tend to be upper-middle class. If the community is predominantly lower class, and the program is geared to a segment of that community, the principal may be in a difficult position. When the board disapproves of his needs, the role of mediator becomes crucial if he is to maintain the respect of his teachers and not completely alienate the board.

The principal is answerable to the community as well. It has been argued that with the advent of community control, the school must be more than simply a place to learn the three R's. Parents have asked for anything from courses in ethnic history to complete control of the school policies. These demands once again call for conciliatory actions on the principal's part. He must recognize that schools are an important socializing agent in children's lives; there is also, however, the basic goal of any school, and that is, simply, to educate children, so that they may cope with the realities of a sophisticated world. The principal, as decision-maker, must determine what belongs in the school and what does

not. To do so and yet keep the community content has been shown to be far from easy.

Mediation and management are ineffective unless the principal displays that elusive quality known as leadership. Depending on a combination of specific personality traits, knowledge of one's field, and an ability to work with people, leadership is crucial to his role. What qualities must an individual possess in order to be an effective leader? Is leadership a "set of functions," as has been suggested, or a certain individual charisma? It is, probably, somewhere between the two. Functions are incapable of performing by themselves and "charisma" is nonexistent unless applied and felt.

Leadership, in the case of a school administrator, obviously calls for the ability to work with people, if one is to be effective. As has been indicated, the principal stands as a manager and mediator of many people; if he simply evaluates and does not act, he is not doing his job, and is not leading anyone or anything. If he listens and does what he personally prefers to do, irrespective of the data provided, he is not fulfilling his role properly. A prime facet of leadership is, after careful evaluation, appropriate action. The principal, as leader, listens to those involved and sifts through the information. He evaluates the priority of the requests in conjunction with needs,

available funds, feasibility, and his professional personal value system. He (or she) may run into opposition if his decision is disliked, but if the decision is an intelligent move, he can maintain his self-respect and perhaps, at least, the grudging respect of others. It is impossible for today's administrator to please everybody; but if the stance one takes is based on sound decision-making and action, the leadership qualities necessary to confront other difficult problems can be discerned.

Leadership also involves a working knowledge not only of the field of education, but of the community in which the principal works. In being aware of the types of people one serves, proper decision-making and actions can be better keyed to their needs.

Finally, effective leadership calls for free flow of communications. Here, all the principal's roles come together. As mediator, manager, and leader, this individual is in a key position to bring all groups together and facilitate their effective communication with one another. If, for example, the board stands squarely against parent demands (and vice-versa), he may suggest a meeting between a parent group and the board. Even if the meeting does not go smoothly, at least the principal has shown good faith, and some compromise might eventually be worked out.

For the community seeking a principal, then, many things must be considered. Being an effective principal, as has been shown, is not easy; finding the right candidate for any given school can also be difficult. What has been suggested in this dissertation is the use of the model to systematize the task. Geometrical as well as numerical models have shown their usefulness in areas ranging from science to politics. With the introduction of the computer, the feasibility of models was enhanced.

The search for a principal or the examination of certain issues involves an analysis of the interaction between the candidate's qualifications and personality, and the teachers, supervisors and community he will join. The proposed model examines these relationships in a dynamic way: by providing a flexible framework which studies sixteen different basic correlations in any associations desired, the researcher is given a more rounded view of the candidate. The model itself can be concretely constructed in three dimensions, which enhances its usefulness. It also systemizes the data, and enables other researchers to use it whenever needed. Aside, then, from the specific uses examined here (i.e., determining leadership qualities and their effectiveness for school principals), the model is a tool for change. As education and the principal's role in it evolve, the data provided by

the model can be used again and again to fit the situation.

In summary, if education is to change, grow and evolve in a dynamic society, it must meet those developments and act with them, not against them. We have seen how current problems have drastically changed all aspects of education; since we can expect that new problems will arise, new solutions must be found.

The role of the principal must grow with society, and advances in technology can be used to forge tools that may help both the principal and the people with whom he works. Changes in management philosophy, psychological angles, and the use of computerized systems to support the model can be combined to form a more effective, yet humane approach to education and the principal's role in it. If our schools are to survive, we must acknowledge change and grow with it. And the principal, as a prime mover in that process, must recognize it in order to guide the forces in the proper direction.

Suggestions for Additional Research

Additional research may concern two basic areas: those dealing with personality traits may involve the search for improved psychological testing; the gathering and utilization of demographic data will be the primary objective when community problems are being scrutinized in an effort to illuminate relevant aspects of an issue.

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