Effective School Principals

Competencies for Meeting the Demands of Educational Reform

Cynthia D. McCauley

CENTER FOR CREATIVE LEADERSHIP

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Center for Creative Leadership
Post Office Box 26300
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Cynthia D. McCauley
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About the Author

Cynthia D. McCauley is Director of the Education and Nonprofit Sector Research Group. She has worked on the design and validation of two of the Center's management feedback instruments, Benchmarks® and the Job Challenge Profile. She has also conducted research in the areas of personnel selection, developmental job assignments, and leadership in human service agencies, and has written articles in the *Journal of Management, Journal of Business and Psychology,* and *Applied Psychological Measurement.* McCauley has a Ph.D. in industrial/organizational psychology from the University of Georgia.

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Introduction

In Florida, principals are making decisions with committees of teachers about their schools' academic priorities and creating budgets to fit those priorities. In Wisconsin, some school principals are concerned about losing students; if the perceived effectiveness of their schools declines, parents may choose to send their children elsewhere. In New York City, a principal spends his morning with a group of business leaders discussing a joint project aimed at curbing the drop-out rate.

A decade ago, most principals would not have imagined themselves in these situations. But a rash of reports calling for reform (e.g., *A Nation at Risk*, 1983; *Time for Results*, 1986; *Tomorrow's Teachers*, 1986) were the impetus for a number of experiments in running public schools. Among the most visible are school-based management, teacher empowerment, parental choice, and school-business partnerships. If these experiments become the norm, as is likely in the years ahead, principals will be taking on new demands in their jobs. In addition to being building administrators, they will need to be executives in charge of running their school units in a way that is responsive to their customers (David, 1989; Estes, 1988; Finn, 1986). They will have more authority and responsibility but will also be expected to share that power with others.

We can not assume that principals who are effective today have all the competencies needed to continue to be effective in the face of new demands. In addition to remaining skilled in areas where effective principals have traditionally excelled (e.g., setting direction, organizing, monitoring, and communicating), they will have to develop competencies in areas that have not been as strongly emphasized in their jobs: motivating and reinforcing staff, building teams, creating networks, and handling additional pressure.

Districts implementing school reform need to be aware of the impact decentralized school systems, participative management, and diverse external relationships will have on principals in their school systems and evaluate how prepared these key players are for meeting new demands. Also, given that nearly half of all current

principals will retire in the next ten years (West, 1989), districts need to think about changes in education as they set criteria for hiring, evaluating, and training new principals. In making these decisions, the framework we use to define effective principals needs to be broadened to include new competencies.

This paper describes the new challenges facing school principals, shows how the competencies of effective principals identified through research will remain important, and suggests new competencies principals will need to learn to remain effective in the face of school reform. The resulting framework of principal competencies can be used as a guide for thinking about the selection and development of effective principals. My review of the educational and management research that provides the basis for these observations is summarized in the appendices.

New Challenges

Even our best principals are facing new challenges as a result of school reform efforts. Several of the reform efforts that most directly affect the principal's job are described below.

School-based Management

School-based management has become the major form of restructuring in school systems today (David, 1989). It is characterized by decentralized decision making within the school district and increased school autonomy. The staffs of individual schools make decisions about such things as school goals, allocation of resources, personnel selection, instructional programs, and staff development—decisions previously made almost exclusively at the district level. In a recent national survey, 53 percent of school executives said school-based management was in effect or in planning stages in their schools; 87 percent said that school decisions were best made at the building level (Heller, Woodworth, Jacobson, & Conway, 1989).

The purposes of school-based management are to put problem solving closer to where problems occur (Lezotte, 1989) and to increase each school's flexibility to respond to the needs of its own communities and to the changing educational environment (Estes, 1988). These changes give principals more decision-making authority but at the same time place more accountability for school results on their shoulders. School-based management can also give principals more latitude for experimentation in their own schools.

School-based management does not mean an abdication of authority and responsibility at the district level. The central office will still provide overall direction and values, coordinate efforts across schools, evaluate the effectiveness of individual schools, and be a source of expertise and support (Murphy, 1989). The relationship between the principal and central office is not upended but rather becomes one of collaboration and mutual influence.

Teacher Empowerment

Closely tied to efforts at decentralizing decision making in school systems is the notion of teacher empowerment. Empowering teachers means giving them the authority to make professional decisions about how best to serve their students and providing opportunities for them to help shape school policies and programs (Hill, 1989; Rist, 1989). School leaders trying to empower teachers are both freeing them of bureaucratic restraints in the classroom and engaging in a more participative approach to managing the school as a whole. They also frequently allow teachers to expand their roles—to peer coach, researcher, and program developer.

The rationales for teacher empowerment generally fall into two camps (Timar, 1989). Empowerment is first seen as a way of increasing the professionalization of teaching. In this view, it is expected that empowered teachers will be more engaged and supportive of the educational mission of the school, that they will try to improve their performance by seeking the advice and input of their colleagues, and that they will feel more responsible for their work (Adams & Bailey, 1989; Rist, 1989). Empowerment is also seen as a means of supporting change in teachers' roles within the classroom. Changing how teachers design learning activities and work with students is seen by many reform advocates as a key ingredient in preparing children for functioning effectively in an information-based society (Glasser, 1990; Schlechty, 1990; Sizer, 1985). In this effort, teachers become advisors, encouragers, and coaches rather than lecturers. They engage students more actively and directly in the learning process through use of small groups, individual projects, peer tutoring, and one-on-one sessions between student and teacher (Shanker, 1988). They also provide students with challenging activities that will stimulate their higher-order thinking skills. Empowerment should aid in these classroom changes by giving teachers the authority and flexibility to match individual student needs with learning opportunities.

To empower teachers, principals will have to use a team-management approach in running the school. They will have to act more as facilitators and consensus-builders than controllers. They will be expected to engage and inspire teachers, not just to manage

them. They will also be responsible for ensuring that their staffs have the skill and professional knowledge to make the best decisions at the classroom level through careful selection of staff, regular evaluation of their teaching behavior, and ongoing training and development activities. To ensure that the staff can effectively contribute to shaping school policies, principals will also need to focus more on the development of their staff's collaborative skills and broadening their perspective on school-wide issues.

Working With Stakeholders

Educators today are facing greater demands to be more customer-oriented. These demands have brought schools into closer contact with two of their major stakeholders: parents, who expect schools to provide the best possible education for their children; and businesses, who expect schools to supply them with competent entry-level employees. As a result, principals are required to manage more external relationships than ever.

Good parent-teacher relationships have always been viewed as important in schools. But getting parents more involved in both the education of their children and the running of their schools is on the upswing. From the schools' perspective, involved and interested parents mean more motivated kids and volunteers that help stretch resources further. More schools are also making use of "school-site councils" (often in conjunction with school-based management) in which the principal, selected teachers, and parents work together to monitor school goals and to problem-solve (David, 1989; Payzant, 1989).

The most controversial new practice that allows for greater involvement of parents is school choice—the practice of not forcing children to attend their neighborhood school but allowing parents to choose the school their children will attend. In practice, school choice programs can range from within-district magnet schools to across-the-state open enrollment. Proponents of choice cite three potential benefits of the practice (Doyle, 1989; Hechinger, 1989; Nathan, 1989). First, since no one best school exists for all students, parents could match educational components of a school to their

child's needs. Second, parents and children who are allowed to choose a school would be more motivated to succeed in that school. Perhaps the most often suggested benefit is that choice would invoke competition which would then stimulate school improvement. Other educators are equally convinced that these assumptions about the potential benefits of school choice are inaccurate and that school choice programs, particularly in an unrestricted form, could be disastrous, leading to elitism and a return to segregated schools (Bastian, 1989; Finch, 1989).

Although the choice debate rages on, several states have already passed laws that allow choice; fifteen states are considering such laws, and three-fourths of the public say they support the idea of choice (Bastian, 1989; Hechinger, 1989). Principals in the future are likely to have to deal with some sort of choice plan. For choice to work for them, they will need a clear statement of their schools' goals, effective ways to communicate these goals to parents, and admission procedures that are fair and equitable (Nathan, 1989). They may even have to develop a school with distinctive features that fits a particular education niche. For example, schools may distinguish themselves by emphasizing a particular subject area (e.g., math, arts), a particular educational approach (e.g., back-to-basics, individually-guided education), or a particular feature (e.g., bilingual environment).

The second stakeholder that educators interact with greater frequency is the business community. As businesses see more and more teenagers unprepared to enter the work force, they are exploring ways to help improve school effectiveness. As a result, many business-school partnerships have emerged (MacDowell, 1989). These programs vary a great deal. They may provide incentives to students to stay in school and perform well, sponsor innovative school programs, offer students hands-on experiences in the business organization, create workplace schools, and encourage employees to serve as mentors, tutors, and subject matter specialists.

Schools have generally welcomed the resources, community support, and expanded student opportunities afforded by these partnerships. However, their effectiveness has received mixed reviews. A partnership is more likely to be effective if it focuses on a specific area of the curriculum, puts objectives and expected results

in writing, and works to develop an understanding of the cultural differences between a business and a school (MacDowell, 1989; Salodof, 1989). Consequently, in order for a principal to effectively draw on resources in the business community, he or she must not only find partners with compatible goals but also focus the business involvement on aspects of the curriculum in ways which make the most sense and be aware of the cultural differences that may exist between the two types of organizations.

Competencies of Effective Principals

Are today's effective principals prepared to successfully handle the challenges brought on by educational reform? First, we must delineate the competencies of an effective principal. To do this I examined the body of research that has studied the characteristics of effective principals. Even though effectiveness in the school context is especially hard to define, school principals may be one of the most studied groups of managers. Researchers have used both qualitative and quantitative methods to study the characteristics of principals who lead schools with high standardized test scores, who are in charge of successfully implemented innovations, who lead satisfied teachers and students, and who have high reputations among peers and superiors. I chose five high-quality studies to examine in depth (see Appendix A, page 35, for a detailed discussion of these studies and why they were chosen). Although diverse in terms of purpose and research orientation, some strikingly similar results were found across these studies. The findings with respect to effective principals were integrated to produce the ten dimensions described in Table 1 (page 10).

The composite picture is one of effective principals who successfully deal with the task of running a school through a combination of values, knowledge, skills, and actions. They place top priority on student learning and have high expectations for staff and students, thus creating a school climate of achievement and an enthusiasm for excellence. Their understanding of the factors that influence schooling is a guide for designing effective learning environments. These designs can be put into action with skills at setting direction, organizing, and implementing. Yet they realize that different schools require different leadership styles and thus adapt their behaviors to fit within that context. They also understand the key role that teachers play in successfully meeting educational goals and work to build productive and trusting relationships, communicate effectively, and provide staff with developmental opportunities. They have positive relations not only with teachers but also with students and with the community. They have developed sophisticated information-processing skills to help monitor progress toward goals and anticipate new problems.

Table 1
Competencies of Effective Principals

Beliefs and Values about Education. Effective principals are guided by a well-developed philosophy of education. They focus on providing the best educational experiences for students. They have high expectations of students, teachers, and self.

Cognitive Maps of Factors Influencing Schooling. Effective principals have broad, multifaceted knowledge of what factors inside and outside of the school have an impact on student learning. This knowledge is derived from personal experience, professional judgment, and research findings.

Information Processing and Decision Making Styles. Effective principals are systematic information gatherers and manipulators. They anticipate problems and are decisive. They seek input and involvement from others in making decisions.

Setting Direction. Effective principals are active in setting school priorities and direction. They combine district goals with their own school needs in setting priorities.

Organizing and Implementing. Effective principals develop ways and means for reaching goals. They establish procedures for handling routine matters. They clearly delegate authority and responsibility and serve as a role model for how to get things done.

Monitoring. Effective principals monitor progress toward goals and evaluate staff systematically, feeding back the information gained.

Communicating. Effective principals express ideas clearly and frequently.

Developing Staff. Effective principals identify staff developmental needs and work to improve the staff in these areas.

Managing Relationships. Effective principals develop productive relationships with their staff and work to resolve conflict. They are aware of the needs, concerns, and feelings of others. They make themselves available to staff and are honest and direct with staff. They also maintain positive relations with students and with the community.

Adapting Actions to Context. Effective principals tailor their leadership styles to fit the situation. They adapt their behaviors to fit the organizational and community context of their schools.

Of course, this is a simplified picture of the effective school principal that does not capture the variety of behaviors, styles, and ways used by these individuals to create effective schools in diverse communities. These abstractions do help us in developing a framework for thinking and talking about the competencies of a principal which contribute to his or her effectiveness. These competencies will continue to be important to principals who are dealing with the changes brought on by educational reform:

School-based management. In a decentralized school system, being competent at setting school directions will be especially important. The school principal will have more authority for developing school priorities and goals and will be responsible for making sure these goals meet the educational needs of the community. Also, in a system where some form of parental choice is in operation, a clear set of school priorities is valuable for attracting students.

The broadened responsibilities brought on by school-based management will also draw on the principal's information-processing and decision-making abilities. Seeking out information as input to decisions about budget allocations, personnel, and curriculum changes as well as anticipating decisions and problems in these areas will occupy an important part of the principal's job. With new levels of accountability, being skilled at monitoring progress toward goals is a further asset. Effective principals create procedures for systematically evaluating progress and also seek out opportunities to receive more informal feedback on work progress.

Teacher empowerment. According to the research on effective principals, more effective principals are already engaged in aspects of empowerment. They have high expectations of teachers in that they seek teachers' input in decision making, delegate responsibility to them, and expect teachers to set goals and develop plans for their own programs. They are also concerned about the continual development of their staff's professional knowledge and skills and will see that developmental opportunities are provided.

Working with stakeholders. Effective principals maintain positive staff and community relations. Their ability to manage relationships will be sought more frequently and with more external groups as the principal works more closely with parents,

businesses, and others attempting to influence the educational system. Individuals outside of the school system may advocate changes or programs that the principal does not think are in the best interest of the students. Their strong beliefs about the purpose of schools will be an asset as they evaluate which relationships will most likely translate into benefits for students.

A greater customer orientation will likely mean more diverse types of schools since various groups of students have quite diverse needs. Individual schools will likely try to specialize in meeting particular sets of needs and seek students who will benefit from the school's special emphasis. Effective principals will draw on their communication skills to articulate to parents and students their own school's priorities and unique features. Also in this context, principals who move to a new school or find their schools changing to a magnet or more specialized school will be more effective if they have developed the competency of adapting their actions to the organizational context in which they find themselves.

Need for New Competencies

Although the competencies identified in past research on effective principals will remain important for principals facing new demands brought on by educational reform, I think that several additional competencies will also move to the forefront. This conclusion was derived in two ways. First, I carefully examined the new demands likely to be experienced by principals, and hypothesized what additional skills and abilities would help principals successfully deal with those demands. This was an inferential process based on logical analysis of what principals in these situations would need that they may not have required in the past to the same extent.

A second strategy was to apply knowledge of research on effective management in general, much of which has focused on managers in corporate settings. Although schools and corporations are different on some important dimensions (e.g., missions, how resources are obtained, constituents), the demands that principals are now facing—increased decision making and accountability, empowering subordinates, and stakeholder-orientation—are challenges that corporate managers have been facing for a longer period of time. I felt that insights about competencies that principals will need to focus on more intensely in order to meet these demands could be gained from comparing the findings from research on effective principals to those from research on effective management in general. Research on corporate managers who have already dealt with these challenges may yield broader competencies than those derived from research on principals. The details of the comparison of management research in the two sectors are presented in Appendix B (page 47).

The two approaches converged on four managerial competencies which are likely to become more important for principal effectiveness: motivating and reinforcing staff, building teams, creating networks, and handling pressure and stress. Below, each of the competencies is presented in terms of a hypothetical but representative case situation; this situation is followed by a fuller discussion of what the competency entails.

Motivating and Reinforcing Staff

Situation. Bob Jones has been the principal at Johnson Elementary School for the past three years. His district has decided to experiment with school-based management, and Bob, with the backing of the school staff, has volunteered Johnson Elementary as one of the pilot sites. Bob, the assistant principal, and several of the teachers from the school have spent the past summer attending several intensive workshops on school-based management with administrators from the other pilot schools in the district.

Based on its number of students, $5 million has been allocated to Johnson Elementary, and Bob has been given considerable freedom about how the money will be spent. The district does require that several procedures be followed. First, Bob needs to work with an advisory group of teachers to establish school priorities, and the school's budget needs to reflect those priorities. He must also submit an outline of the budget to the superintendent for final approval. In spending funds, Bob must abide by state regulations and accreditation standards, but he can apply for exemptions from district-level regulations.

Bob will have the authority to hire new staff from a pool of teachers screened at the district level and will have major responsibility for staff evaluation and performance feedback. Teachers in the school will be encouraged to develop their own curriculum and instructional materials within the framework of core curriculum established by the district.

The district expects something in return for this delegated authority—results. Bob will be held accountable for student learning in the school. Standardized test scores will be monitored, but, more importantly, the school staff will work with the central office in designing additional measures of performance that reflect the priorities of the school.

Bob is excited about these challenges. He is also concerned. Student test performance at the school has been above average but not particularly outstanding. Although he has had good rapport with the teaching staff and often seeks their input, he is not inclined to directly involve them in school-level decisions. He knows that pilot programs invite close scrutiny. But he really believes in

the positive benefits of school-based management and wants to show how it can work in the district.

Bob realizes that he can't meet these challenges alone. To create change, he needs staff input, support, and coordinated effort. His plan is to focus more of his energies on motivating the staff to take on new responsibilities, and to continually strive for school (not just individual classroom) excellence and to reward them for these efforts. The district administration has granted him additional positional power, but he realizes that much of his success at motivating and reinforcing the staff will come from gaining the staff's trust and respect. What can Bob do to motivate and reinforce his staff?

Strategies. I have already pointed out that effective principals are skilled at setting school goals and priorities. To motivate, a principal must go beyond this to communicate to the staff a clear and appealing vision of what the school can achieve. More importantly, the principal must involve staff in the creation of this vision. Even when staff participates in shaping vision, it will fall primarily on the principal to continually hold up that vision, to communicate enthusiasm for it, and to inspire action to achieve it. In the past, teachers have often acted as independent professionals, expected to gain the majority of their personal motivation and satisfaction from the accomplishments of their own students. Giving teachers the sense of being an integral part of something bigger—accomplishments at the school level—encourages teachers to work together, to more closely examine if the curriculum at one grade level integrates well with the next, to share successful teaching strategies, and to ask each other for feedback.

A principal's power to motivate also depends on the extent to which he or she can get the resources that the staff feels they need to work toward the school vision. Perhaps one of the most precious resources for teachers is time. As one teacher describes her schedule: "Bells are always ringing, and you're running back and forth. You get a half-hour for lunch and there's no time to interact professionally with your colleagues" (Maeroff, 1988, p. 475). If teachers are to have input into creating a vision and opportunities to work together, then the principal needs to be open to creative ways for scheduling their days so that time for these activities is available.

Scheduling professional activity periods that coincide for certain groups of teachers, experimenting with patterns of large- and small-group instruction, better utilization of substitutes and parent volunteers, using noninstructional staff to complete paperwork are all factors that should be explored by principals and teachers who are serious about providing teachers with more time resources (Griffin, 1988).

Principals are in a key position for coordinating other resources in addition to time. A principal who fights for additional funds from the central office, who seeks out experts to provide input to the school on special projects, who lobbies for exemptions from bureaucratic rules, and who encourages the district to provide more professional days for teachers will not only be getting needed resources for the school but will also be contributing to increased motivation levels among the staff.

Another factor in motivating professional staff is intellectual stimulation (Bass, 1985). Getting teachers out of their separate classrooms and interacting more with each other on professional issues is one path to such stimulation. But teachers may need help in learning how to work and learn together, as San Diego City schools discovered in their efforts at restructuring: "Learning how to collaborate is difficult for teachers who were trained to work self-sufficiently in isolated classrooms" (Payzant, 1989, p. 20). One way to increase interaction and intellectual challenge is through more intensive and meaningful in-service training (Hawley, 1989; Maeroff, 1988). The principal should also model intellectual exchange and professional collegiality by taking opportunities to throw out new ideas for teachers to consider, encouraging them to bring new ideas to the attention of other school staff, getting teachers to challenge their assumptions, and encouraging them to back up their opinions with reasoning and evidence. In order to do this successfully, principals themselves must be seen as technically competent educators.

To sustain motivation over time, teachers need knowledge of the success of their efforts because "good performance is self-rewarding and provides incentive for continuing to perform well" (Rosenholtz, 1989, p. 422). Principals have at least three roles with respect to fulfilling the need for performance feedback: They

frequently reinforce the conviction that teachers can have a major impact on student learning; they work with teachers to formulate criteria of effective performance; and they see that teachers receive clear, frequent, and useful evaluations (Rosenholtz, 1989).

Although having a positive impact on student learning is a major source of internal reinforcement for teachers, external recognition of their success is also an important motivator. Since most schools are remarkably barren in terms of symbolic rewards (Griffin, 1988), principals can learn much about using these rewards. Through personal praise and public recognition of achievements, high performers can be reinforced and held up as models. Celebrations of school accomplishments can be used to reinforce the entire team's successful efforts. Monetary reinforcement for high performance is a relatively new strategy available to some principals. Although merit pay plans and career ladders have received mixed reviews (Rosenholtz, 1986), principals who do have discretion over monetary funds should encourage the staff to experiment with the impact of these incentives on performance.

Building Teams

Situation. Ann Williams is principal at Eastern High School. As part of restructuring efforts in her district, school-site councils are to be established for making major school decisions. Ann will chair the council which will also be made up of an assistant principal, four teachers (one she chooses and three selected by the teaching staff), two parents chosen by the parents association, and the president of the student government association.

The council will determine school priorities, including budget and staff allocations, develop school policies, and plan school improvement efforts. It can appoint additional committees to address special issues. Ann does not have veto power in the group. Decisions are to be made through persuasion and consensus-building.

Ann sees the move toward decentralized decision making and the empowerment of teachers, parents, and even students as positive. She also sees the challenges in the situation. Although somewhat limited in her power, she has always been the lone leader at

the top of her school unit. At the same time that more authority is being pushed down to her level, she is being asked to share that power with others. She is not completely comfortable with the role change, but she sees her chances of influencing a group of individuals who all have a stake in the school as more productive than trying to influence a centralized bureaucracy.

Ann has confidence in her interpersonal skills, but most of her interactions with parents and teachers have been in one-to-one situations, not as the facilitator of a group. She also knows that it will be a challenge to get individuals with diverse perspectives to work together and reach consensus. She feels like she has a lot to learn about creating and maintaining a cohesive, dynamic team.

Strategies. To be an effective team manager, the principal must first do the obvious—truly believe and accept the team management approach and be willing to share power. Given the traditional conflicts and lack of trust between teachers and administrators, some principals are skeptical of attempts at teacher empowerment (Bradley, 1989; Neal, 1989). Yet the most effective principals have always sought input and collaboration from teachers (Leithwood & Montgomery, 1986). In many school districts, situations are emerging in which teacher and parent influence in school-level decision making will be more formalized. To make these teams work, the principal must take on the attitude that sharing power does not mean losing it. As one school administrator has pointed out, "I have to believe that I am strengthened when I spread power around and that the more I hold power to myself, the weaker I get" (Rist, 1989, p. 19).

Teachers may also be skeptical that a principal truly believes in sharing power. Principals can demonstrate how much they value teachers' input in a number of ways: by cultivating the use of the words "we" and "our," by not trying to personally finish everything the team does, by showing confidence in team decisions, and by encouraging others on the team to take on leadership roles. Creating a climate of trust depends on both teachers and administrators believing that the other party has the school's best interest at heart. Also important is an attitude that the team will make mistakes and that these mistakes should be examined and learned from rather than agonized over. Some principals new to the team-management

approach say it is difficult to watch a team make mistakes or try solutions they think are wrong: "My whole problem now is I'm starting to get concerned that if they don't follow through, do they fall on their faces or do I pick them up and scramble?" (Bradley, 1989, p. 12). In these situations, a superintendent in Michigan reminds administrators, "We have to stop paying lip service to the idea that we learn more from our failures than we do from our successes. We're in a learning profession and we really do learn from our mistakes" (Rist, 1989, p. 19).

Building teams also requires group facilitation skills, an area in which principals are not traditionally trained. To manage the group dynamics of a meeting, the principal needs to see that the ground rules for group meetings are set, encourage involvement from all members, keep the group on task, and ask questions to clarify, prod, and surface new information. The principal plays a critical role in creating a team climate where people can express their ideas without being heavily criticized or ridiculed. Even in situations where he or she has an equal vote with other members of the team, a strong personal opinion expressed early by the principal can result in reduced discussion or an incomplete review of alternatives due to the principal's position of authority.

Principals are likely to facilitate teams made up of members with diverse perspectives (teachers, parents, students, and community leaders). In these cases, skill at managing conflict becomes critical to maintaining an effective team. Carl Glickman noted of the group of schools in the midst of reform efforts which he had been closely studying, "The more an empowered school works collectively, the more individual differences and tensions among the staff members become obvious" (1990, p. 71). Principals who manage this conflict well openly acknowledge when conflict exists and treat it seriously, help the group clarify the nature of the conflict, try to help those in disagreement find common ground and a collaborative solution, and may seek a neutral third party to help lead discussions on particularly hot topics. The principal can further improve the success of shared governance by making consensus-building a shared priority.

Since the team management approach has not been used frequently in school settings, principals should ensure that the

team members have the skills necessary to function as an effective team. For many teams, this may mean training and coaching in group communications skills and problem-solving techniques. When teachers and parents are asked to participate in decision making at the school level, orientation to technical aspects of running the school (e.g., budgets, policies, laws) and to a broader school perspective is necessary. School leaders in Dade County, Florida, one of the first school systems to experiment seriously with school-site councils, found they were unprepared for the provincial perspective of some teachers: "Some teacher representatives were unprepared to deal with school-wide problems. Their experience had given them a limited view of school operations. Consequently, they often advocated simplistic solutions to school problems" (Gomez, 1989, p. 22). They found that development of a broader perspective took time and exposure through numerous team meetings and discussions. Effective principals have already been paying close attention to the professional development needs of the school staff; they must now extend that developmental orientation to include concern for a wider range of skills and a broader spectrum of individuals.

Creating Networks

Situation. Paul Austin is the principal of an urban high school. Last year the school became a magnet school with a curriculum that emphasized math and science. The transition from running a neighborhood school to a school serving students from diverse parts of the city was a challenge for Paul. He went from being well known among the students' parents to not being known at all by a significant portion of them. Plus he was finding that parents who send their students to magnet schools have different expectations. This year Paul wants to find more ways to get input from parents and have them become more familiar with the school.

The teachers at the high school have had a great deal of autonomy in designing the curriculum that would provide students with more in-depth knowledge in math and science. But Paul sees that they could use more input. He wants to create more opportunities to draw on subject matter expertise from the central office and from the local university.

Paul also sees the special emphasis of the school as a major opportunity to attract extra resources from the business community. The budget is stretched thin and outside help is needed to obtain the computers and lab equipment needed to run a top-notch math and science school. Some of the businesses in the city could also expose students to career opportunities in math and science and show them some of the real-world applications of the knowledge they are attaining.

As Paul struggles with reaching out to parents, business leaders, and the community, he benefits from occasional meetings with the two other principals in his district who run magnet schools. They are going to ask a fourth principal who was in a magnet school setting in his previous position in another district to join them for sharing ideas and joint problem solving.

Paul is in various stages of efforts to expand his network to deal with the demands of his school's educational niche. As schools become more customer-oriented and less driven by top-down mandates, principals will experience a greater need to create networks to gain input, get access to resources, and learn from others.

Strategies. Principals do have opportunities to play a visible role in many existing networks. They can join professional organizations and civic groups. They can be active in parents' associations and interact frequently with teachers' unions. But they are also in the position to create new networks. They can form advisory groups of parents and business leaders both to seek their input and expose them to the needs of the school. Many principals have found that inviting business and community leaders to visit the school, surveying parents, and communicating through newsletters are all opportunities to have contact and build relationships with important constituents. Principals can also identify and develop relationships with key influential individuals in the community who could be brokers for developing future partnerships. A review of successful school-business partnerships found that "an intermediary who can help school and business leaders understand each other and collaborate despite their differences is invaluable when starting a partnership" (Salodof, 1989, p. 36).

Networks internal to the school system are also important. Regular contact, both formal and informal, with other principals in

the system and with central office staff will encourage the growth of internal networks. Serving on district-level committees is one way to build formal contact into the principal's job. Another way for districts to grow internal networks is to encourage the rotation of assistant principals to different schools or central office positions. Movement across sites would allow administrators the opportunity to work and develop relationships with a wider group of district staff.

It is not the number of contacts or the amount of time spent in developing a network that are most important in creating successful network relationships, but rather how the other members of the network respond. Is the principal successful in getting others to identify with the school and its issues, develop respect for him or her as a leader, and find the relationship beneficial to them? Although many principals may think it should be obvious to the community and to business leaders that their involvement and assistance to schools can benefit them in the long run through better educated citizens and workers, such a perspective must be actively promoted by the principal. Principals should also realize that there are other favors they have to exchange: things like access to school facilities, favorable public relations for businesses, assistance in attracting new business to the area, and programs that use students as community volunteers.

To develop competency in creating networks, the principal needs a number of diplomacy skills: the ability to communicate articulately while being a good listener; knowing how to distribute time spent with others; a repertoire of influence tactics—persuasion, camaraderie, negotiation, bargaining; the ability to use a mixture of interaction modes—group, one-on-one, written; and fluency in the various "languages" spoken by different network members (Kaplan, 1983). As with other managers in public service organizations, school principals have multiple constituencies. Thus, compared to managers in many other organizations, their networks will tend to include a wider variety of individuals, many of whom are external to the organization. Thus they will have to become sensitive to cultural differences across the various organizations these individuals are part of, communicate their message in a number of different ways or "languages," and feel pressure from

conflicting opinions held by different network members. They will also have to spend time educating outsiders to the particular culture of their school and the constraints they work within in a public education setting.

Handling Pressure and Stress

Situation. Bob Jones, Ann Williams, and Paul Austin have never thought of their jobs as undemanding. Each has had to handle difficult situations and respond to crises, but now they are experiencing increased pressure and stress in their role as principal. This is not surprising given that the new situations they face contain a number of potential stressors: role ambiguity, increased responsibility for people and results, and conflict and opposition.

As Ann goes from being the leader who makes many of the final decisions in her school to the facilitator of a team of leaders, she feels ambiguity about what her role should really be. Since this is a new situation, she has little past experience to draw on, and is uncertain about what types of behaviors would be most effective. Although Bob is excited about the opportunities of school-based management, he is also experiencing uncertainty about what is expected of him in the expanded leadership role he has been given.

Increased responsibilities can also lead to increased pressure and stress. Bob sees the school's bottom-line results coming under closer scrutiny than ever, and he feels more personal responsibility for those results. Paul also feels pressure to find resources outside of the school system; without these resources he fears the magnet school will not succeed.

Because of their increased contact with stakeholders and their efforts to create change in their schools, these principals are also experiencing more conflict with others and opposition to their ideas. Paul is already experiencing resistance from some teachers to the idea of getting outside experts to help in curriculum design. Some of his initial interactions with business leaders have been stressful because of their different viewpoints on how businesses and schools can best cooperate. Ann will also encounter opposition on her school-site counsel, and Bob will find resistance among the staff as they work on school improvement.

All the potential changes inherent in school reform will put additional pressure and strain into the already hectic principal job. Principals will be stretched by unfamiliar situations and increased responsibilities. Those principals who can respond calmly and openly to these new situations and continue to perform under pressure will be more effective.

Strategies. For principals to handle stress well, they need to have a positive orientation toward events and situations that stretch their abilities and strain their personal resources. This first involves accepting the inevitability and necessity of stress in one's job. It also involves seeing the opportunities in stressful situations: opportunities to learn new strategies and skills, opportunities for higher levels of motivation, and opportunities for increased group cohesiveness (McCauley, 1987). Those who handle stress well welcome change as an opportunity and challenge, rather than avoiding it as a threat or demand (Bunker, 1986).

Principals can also manage stress by anticipating and planning for potentially stressful events. The first step is developing a high level of self-awareness that allows one to recognize his or her strengths and weaknesses. This helps one anticipate the kinds of situations he or she will find taxing. For example, a poor delegator may find a large project particularly stressful because he or she tries to do the job all alone. Or someone with poor group process skills may be stressed when called on to chair a school system committee. Anticipating these types of situations will allow for better preparation. The preparation may involve mental rehearsal, finding a coach, getting others with complementary strengths involved, or developing strategies for minimizing negative consequences.

Principals must also learn to feel comfortable with taking action in ambiguous situations and maintain good humor when things do not go as expected. They should realize that they are likely to make mistakes in dealing with the new responsibilities and relationships in their jobs. To be effective they need to handle their mistakes well: admit them, forewarn others, calmly go about analyzing and fixing them, not blame others for the mistakes, and not obsessively dwell on them (McCall & Lombardo, 1983).

Two other factors can help principals cope with stress: support networks and more balance between their work and nonwork lives. Developing friendships with principals or other administrators provides opportunities for advice and support in stressful situations. Knowing that one has access to reliable social networks—either in the work setting or outside of it—seems to buffer individuals from some of the negative consequences of stress (Lieberman, 1982). Principals whose entire lives revolve around their jobs have no way of occasionally escaping from job pressures. A fulfilling nonwork life can counteract some of the negative feelings associated with job stressors and provide needed time away from day-to-day problems.

The principal must also realize that he or she is not alone in terms of increased stress. The entire school staff is experiencing a redefinition of roles and expectations. A staff undergoing change needs personal support and a sense of security from the principal. All the strategies for handling pressure and stress apply to the staff as well. Principals should make sure others are aware of these strategies and encourage their use.

Motivating and reinforcing staff, building teams, creating networks, and handling pressure and stress are competencies that effective principals will have to use more in order to fill new roles and responsibilities in their positions. Managerial competencies, however, are not independent of one another. The four just discussed are linked in some ways to other competencies in our framework. Being able to motivate and reinforce staff depends in part on the setting of clear and compelling goals for the organization and monitoring the progress toward those goals. Team-building often involves training and coaching for staff members. Creating networks is dependent in part on the principal's communication skills. How well a principal manages relationships influences his or her success at building teams and creating networks. And handling stress and pressure is related to a number of the other competencies. Thus, these areas of increased emphasis for principals will in some ways build on existing competencies rather than be completely distinct from them. How principals use these competencies and for what purpose will change. For example, setting direction for

the school will remain important but it will be carried out in a much more participative way. Also, developing staff will broaden from improving teachers' curriculum knowledge and instructional skills to developing such things as their group problem-solving ability and their understanding of school-level issues.

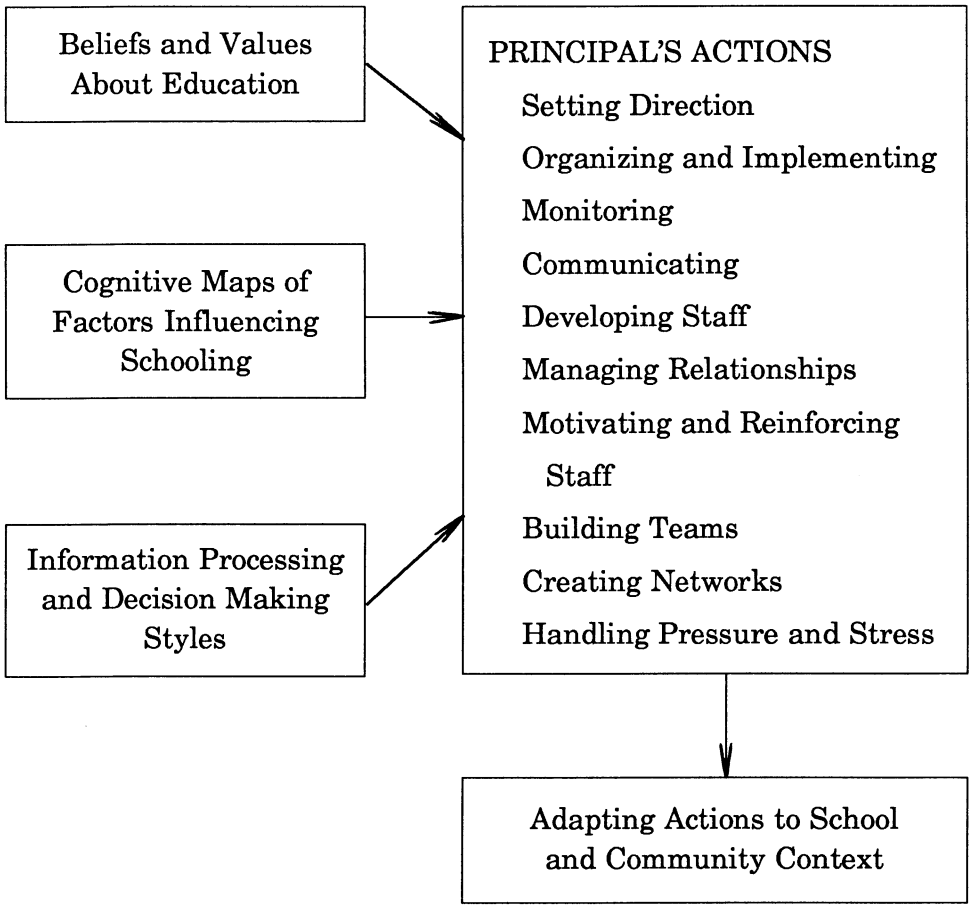
Implications

If we are to do a good job of selecting and developing school principals for the future, then we must know what it takes to be effective in the situations these principals are likely to face. Past research gives us one perspective, but this perspective can be broadened by examining anticipated changes in the principal's role. By combining past research findings and projecting new competencies for the future, a composite view of the effective principal is derived (Table 2, page 28). Basic to the principal's level of effectiveness are his or her beliefs and values, cognitive maps, and ways of processing information and making decisions. These in turn influence the actions he or she takes in carrying out the tasks of the job. It is these diverse sets of actions that have the most direct impact on the school. These actions are modified by effective principals to best fit their school and community context.

A model of competencies is a tool for helping us examine what we should consider when making decisions about ways to select, evaluate, and develop principals. Again, it should be emphasized that such a model exists at a level of abstraction that fails to communicate the diversity among effective principals. No one will be exceptional on all the competencies, nor will all situations require the same level of each competency. In addition, stylistic differences which contribute to each principal's individuality are not captured. But these competencies do provide us with a framework for comparing the strengths and weaknesses of various job candidates, for diagnosing performance problems, or for designing the content of developmental programs.

The competency model in Table 2 will help us think about the kind of development that principals will need in preparation for the new situations they will likely face in their jobs. I have already discussed how motivating and reinforcing staff, creating networks, team-building, and handling pressure and stress are areas where principals may need more development. Setting direction and monitoring may also become more crucial for the principal in a decentralized school system.

Table 2
School Principal Competency Model



Much can be done by a school system or state department to provide developmental opportunities in these areas. Courses can be designed that introduce models and allow principals to practice skills and get immediate feedback in areas such as developing a school vision, group decision making, diplomacy skills, and strategies for dealing with stress. Outside facilitators can be made available to help run team meetings and serve as models in this type of role for the principal. Workshops can be held for groups of princi-

pals, teachers, and parents in order to create more of a team orientation. Forums that bring together school administrators with business and other community leaders can help both groups understand their organizational culture differences and stimulate the formation of networks. Programs that pair individual principals with a mentor can also provide the principal with valuable insights, network development opportunities, and social support. Rotational assignments to central office positions can provide a broader system perspective for principals as well as teach them how to best draw on central office resources.

Principals will also have to develop cognitive maps of how new factors in the school equation affect the bottom-line—student learning. What impact will various types of career ladders have on the teacher's classroom effectiveness? How will incentives to stay in school offered by businesses affect student achievement? They will also have to understand how to modify their actions to fit new contexts. How should setting school direction be different in a magnet school than in a regular school? How do you build relationships with central office staff whose own jobs may be in transition from rule-makers to advisors?

This knowledge and understanding can be developed by encouraging experimentation on the part of principals. Experimentation can be enhanced by removing bureaucratic restraints, helping individual schools seek additional funds for innovative programs, and rewarding principals who are willing to take risks. They also could use help getting feedback on their experiments, either from staff, superiors, or outside consultants. Face-to-face forums or electronic networks can also be created that allow principals to share the results of their own experimentation with each other. Easy access to research on model programs should also be made available.

Many of the changes underway in schools today will have an impact on what we expect principals to do. In this paper, I have broadly discussed these changes and their potential impact. I would encourage those districts implementing school reforms to consider this general framework as a place to begin. They will need to supplement it by examining the impact that the particular changes in their specific educational context will have on the role of principal

and how prepared these key players are for meeting the new demands. In addition, when implementing reforms, principals will need access to new knowledge and will need time and opportunities to practice new skills. Districts also need to think strategically about future changes in education as they set criteria for hiring, evaluating, and training new principals who will be expected to bring about many of these changes.

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Appendix A

Research on Effective Principals

The problem with reviewing the research literature related to principal effectiveness is that there is a lot of it, much of which either is of questionable quality or focuses on some some small aspect of the principalship. Past attempts at reviews (Bossert, Dwyer, Rowan, & Lee, 1982; De Bevoise, 1984; Leithwood & Montgomery, 1982; McCurdy, 1983; Pitner, 1988) reflect these problems: little effort to integrate findings across studies, not a great deal of overlap in studies cited, or lack of attention to the quality of research included in the review.

For this paper an alternative strategy was used. I searched for a limited number of studies that were comprehensive (i.e., examined a full range of principal behaviors or characteristics), methodologically sound, major efforts (i.e., worked on by a team of researchers over a considerable period of time), and diverse in terms of methodology, purpose, and definition of effectiveness. Five research efforts that met these criteria were included:

- A series of studies conducted by the Ontario Institute for Studies in Education that resulted in *The Principal Profile* (Leithwood & Montgomery, 1986).

- Studies at the Far West Laboratory of Educational Research and Development that focus on the potency of principals as instructional leaders (Dwyer, 1985; Dwyer, Lee, Barnett, Filby, & Rowan, 1985).

- Studies at the Research and Development Center for Teacher Education at the University of Texas that focus on the principal as a facilitator of change (Hall & Hord, 1987; Hall, Rutherford, Hord, & Huling, 1984).

- An effort to design and validate an assessment center for school administrators sponsored by the National Association of Secondary School Principals (Schmitt, Noe, Meritt, & Fitzgerald, 1984).

- Research to identify competencies of high performing principals sponsored by the Florida Council on Educational Management (Croghan, Lake, & Schroder, 1983; Huff, Lake, & Schaalman, 1982; Martinko & Gardner, 1982; Snyder & Drummond, 1988).

The results across these five research projects were compared and similar findings were noted. Descriptions of the purpose and method used in the five research efforts reviewed are presented below. Table 3 (pages 40-45) summarizes and integrates the findings from these studies.

Ontario Institute for Studies in Education

The Ontario Institute for Studies in Education has conducted a series of studies that have resulted in the Principal Profile, a description of the dimensions of principal behavior and levels of effectiveness within these dimensions (Leithwood & Montgomery, 1986). The purpose of the research was to understand the links between principal behavior and student learning. It explored the dimensions of principal behavior that influence school effectiveness, the nature of effective principal action within each dimension, and the stages of growth leading to highly effective behavior.

The researchers defined the effective principal as one who makes gains on behalf of students. Such gains include reducing the cost of learning to students, increasing the proportion of students mastering conventional school objectives, and increasing overall student self-direction and problem-solving capacity.

Multiple methods were used in various phases of the research. The important dimensions of principal behavior were first derived from interviews with 23 principals about their roles, activities, and problems. A preliminary review of the literature searched for evidence that the derived dimensions had an impact on school processes and outcomes. To define effective behavior and growth within the dimensions, a team of twenty staff members from one school system worked with the research team for two-and-one-half years. The collective knowledge and experiences of the group members were used to describe highly effective principal behavior. Open-ended interviews with additional (n=48) teachers and administrators were used to augment the opinions of the group members. An extensive review of the literature was conducted to provide verifying evidence. Sixty-three principals were interviewed to verify the descriptions developed by the group and to add texture to these descriptions.

Several studies were conducted to validate the resulting Principal Profile. Ratings of effectiveness based on the Profile were compared to independent ratings of effectiveness. Except in one case, the results provided moderate to high support for the Profile.

Far West Laboratory

A series of studies at the Far West Laboratory for Educational Research and Development have focused on the potency of principals as instructional leaders (Dwyer, 1985; Dwyer, Lee, Barnett, Filby, & Rowan, 1985). The purpose was to better understand what principals do to institute and maintain effective schools. Effective schools were defined as those with safe and orderly climates, an emphasis on basic skills, and strong instructional programs.

The research effort went through a number of preliminary steps before launching the major year-long field study of twelve principals. Relevant literature was reviewed and a theoretical model derived. Thirty-two principals were interviewed on how their behavior was influenced by their communities, districts, and personal histories; on their schools' climate and organization; and on their efforts to shape instruction in the school. In an eight-week pilot study, five principals were observed at work and interviewed about the observed acts.

The major field study used an ethnographic, case study approach. Subjects were chosen based on reputational effectiveness and diversity in terms of location (urban, suburban, rural) and racial and socioeconomic status composition of the schools. A number of techniques (shadowing, attending special events and meetings, reflective interviews, classroom observation and structured interviews with teachers and students) were used to delineate categories of principal activities, and to discern why principals did what they did and what impact they had through their behavior.

University of Texas

Studies at the Research and Development Center for Teacher Education at the University of Texas focused more specifically on the principal as a facilitator of change (Hall & Hord, 1987; Hall, Rutherford, Hord, & Huling, 1984). The purpose of the studies was to identify the kinds of behaviors that principals should exhibit to bring about school improvement.

A series of studies intensively examined a small number of principals and schools. Initial field studies of the implementation of a curriculum innovation in various elementary schools revealed three change facilitator styles. "Responders" placed heavy emphasis on allowing teachers and others the opportunity to take the lead and saw their primary role as administrative. "Managers" did not typically initiate change efforts, but implemented and supported innovations that the central office wanted to see happen. "Initiators" seized the lead and initiated change efforts.

In the follow-up study (the Principal-Teacher Interaction Study), nine elementary school principals involved in implementing a curriculum innovation were studied for a year. Interviews, daily logs, and biweekly phone contacts were used to catalogue the daily intervention behaviors of the principals. Periodic data from teachers assessed the success of the implementation efforts. This study extended the understanding of the change facilitator styles and the dimensions on which the various styles differed. Additional studies of change efforts in high schools extended the results to this population of principals.

National Association of Secondary School Principals

The National Association of Secondary School Principals sponsored a research effort to design and validate an assessment center for school administrators (Schmitt, Noe, Meritt, & Fitzgerald, 1984). The goal of the project was to develop a process which would help identify and develop effective school administrators.

Traditional industrial psychology methods were used to design and validate the assessment center. Job analysis interviews were used to identify twelve dimensions of behavior important for successful principal performance. Results of the job analysis were used to design a two-day assessment center in which candidates participate in exercises that reflect typical tasks a school principal faces (e.g., writing memos and letters to parents, interviewing and resolving serious school problems). Trained assessors observe each candidate and record behavior. After the two-day process, the assessors discuss each candidate's performance, reach consensus ratings on the twelve dimensions of behavior, and make a summary recommendation of the candidate's potential as a school administrator.

The content and predictive validity of the assessment center was examined. To assess content validity, eighteen experts (i.e., individuals

who had been principals or closely involved in the work of principals) rated the extent to which the skills measured by the assessment center were essential for performance of principals' work and the extent to which the various assessment center exercises were judged to provide essential information about the skills. Predictive validity was assessed by correlating assessment center skill ratings with ratings of on-the-job performance from supervisors, teachers, and support staff, and with teachers' and students' assessment of school climate. Evidence for content and predictive validity was good.

Florida Council on Educational Management

A final research effort was sponsored by the Florida Council on Educational Management (Croghan, Lake, & Schroder, 1983; Huff, Lake, & Schaalman, 1982; Martinko & Gardner, 1982; Snyder & Drummond, 1988). The purpose of the research was to identify competencies of high-performing principals in order to develop a competency model which would guide evaluation and training of principals in Florida. Multiple criteria were used to identify effective principals: at least three years leading schools with standardized achievement scores higher than expected given the socioeconomic status of the school population; high absolute ranking on achievement tests; and ratings by the district superintendent as a high-performing principal running a high-performing school.

Two separate research teams conducted simultaneous studies. One team used a critical-incidents approach. Seventeen high-performing and fourteen average-performing principals were interviewed about the high and low points of their work in the previous one to two years. The interviews were content analyzed to arrive at important principal competencies.

A second team conducted a Mintzberg-like observational study. Twenty-five high-performing and nineteen average-performing principals were observed in their daily work. Several coding schemes were used in analyzing field notes. This data was supplemented with interviews and questionnaires to both principals and teachers.

The results of these two studies were combined with findings from the NASSP study and a broader managerial competency model by Boyatzis to arrive at nineteen principal competencies.

Table 3
Findings on Effective Principals

	OISE	*Far West Labs*	*RDCTE*	*NASSP*	*Florida Council*
Beliefs and Values about Education	Have a well-developed philosophy of education and concept of what it means to be educated.	Have an image in their minds of a "good" school and of a way to make their school more like that image.	Have strong beliefs about what good schools and teaching should be like.	Possess a well-reasoned educational philosophy.	Are committed to school's mission.
	Have highly ambitious expectations for all students.		Expect high performance of self, staff, and students.	Have high need to achieve.	Hold high expectations for self and others.
	See own role as providing best education possible for students, rather than maintaining smooth running school or happy staff.		See role as one of ensuring that school has strong instructional program and that students are learning.		
Cognitive Maps of Factors Influencing Schooling	Have well-developed expectations of what conditions must prevail in order to reach goals for students.	Have a multi-faceted image of schools; understand the interrelated social and technical aspects that make up a school.		Can identify educational needs; competent in a variety of subjects relevant to education.	Aware of effects of decisions on groups inside and outside the school.

	OISE	Far West Labs	RDCTE	NASSP	Florida Council
	Base their expectations on knowledge from research, their own professional judgment, and the judgment of other respected practitioners.		Stay current with knowledge of new programs and processes, and with results of research on teaching and learning.		
Information Processing and Decision Making	Systematically collect information relevant to the decisions to be made in the school.		Seek out information to gain an understanding of the innovation.	Seek out relevant information to determine the important elements in a problem situation.	Search for and gather many different kinds of information.
				Reach logical conclusions based on available information.	Form hypothesis, concepts, and ideas on the basis of information.
	Use a wide variety of strategies to reach goals.				Use alternative perspectives when decision making.
	Anticipate decisions and problems.			Recognize when a decision is required and act quickly.	Are ready to take action and make decisions.
	Match decision making form to setting, but work toward high levels of participation.		Seek ideas from teachers; allow others to participate in decision making.	Get others involved in problem solving.	

(continued)

Table 3 (continued)

	OISE	*Far West Labs*	*RDCTE*	*NASSP*	*Florida Council*
Setting Direction	Use systematic procedures, with staff participation, for setting goals on annual basis.	Define future desired outcomes; make decisions with regard to policy.	Identify areas in need of improvement; take the lead in identifying future priorities for the school.	Set priorities.	Take role of being "in charge" and assume responsibility.
	Derive goals from official agencies, local school board, and needs of school community.		Modify district goals to fit with own school context.		
Organizing and Implementing	Require the development of procedures for implementation of programs.	Formulate means for achieving goals; arrange or coordinate projects, programs, or events.	Delineate steps in change process.	Effectively plan and schedule.	Schedule activities and the use of resources for accomplishing goals.
	Make available to staff materials and equipment necessary to implement school programs; ensure that all teachers have some non-teaching time.	Allocate time, space, materials, and personnel; substitute for other staff members on temporary basis.	Anticipate the need for assistance and resources and provide support as needed.		

	OISE	Far West Labs	RDCTE	NASSP	Florida Council
	Establish procedures for handling routine matters.		Establish procedures for routine tasks.		
	Expect teachers to set goals and develop plans for own programs within the framework of overall school goals.		Will delegate to carefully chosen others some of the responsibility for the change effort.		Delegate authority and responsibility clearly and appropriately in accomplishing goals.
	Act as a role model for staff.	Model teaching techniques and strategies of interaction.	Clarify and model norms of the school.	Recognize when a group needs direction; will guide them to the accomplishment of a task.	Influence others through a number of means: gaining their attention and interest, modeling, specifying what to do.
Communicating		Spend large proportion of time in verbal exchanges with others.		Express ideas clearly orally or in writing.	Present clearly ideas and information in an open and genuine way; write clearly and concisely.

(continued)

Table 3 (continued)

	OISE	*Far West Labs*	*RDCTE*	*NASSP*	*Florida Council*
Monitoring	Evaluate all staff systematically, using procedures which were developed in collaboration with staff and which are directly linked with school goals.	Appraise persons, programs, materials, etc.; review and check progress.	Closely monitor change effort through classroom observation, review of lesson plans, and student performance.		Devise opportunities to receive adequate and timely feedback about the progress of work accomplishments.
	Require departments and divisions to develop and use a procedure for monitoring their programs.	May provide feedback to others.	Feedback to teachers information gained through monitoring.		
Developing Staff	Find ways of improving knowledge and skills of staff.		Take the lead in identifying when teachers have need for increased knowledge and skills and will see that it is provided.		View developing staff as a priority.

	OISE	Far West Labs	RDCTE	NASSP	Florida Council
Managing Relationships	Facilitate in-school communication and productive relationships between school and community.	Maintain positive staff and community relations.		Interact effectively with groups; are skilled at resolving conflict.	Get others to interact and work together; resolve conflict and encourage others to reach mutual agreement.
	Understand staff's needs and preferences.			Perceive needs, concerns, and personal problems of others.	Sensitive to the ideas and opinions of others; try to understand the feelings of others.
	Make themselves available to staff, do things with staff, are honest and direct with staff.				
	Are visible and communicate with students; take an interest in student activities.	Maintain positive relations with students.			
Adapting Actions to Context		Form and function of behavior is influenced by organizational and community context.			Tailor style to fit situation.

Appendix B

Research on Principals Compared to Research on Corporate Managers

The criteria for choosing comparative research were similar to those used in choosing studies of principals: comprehensive, methodologically sound, major efforts, and diverse in terms of methodology, purpose, and definition of effectiveness. In addition, studies were chosen that focused primarily on middle-level to beginning executive positions since these managerial jobs are most similar to the principals in terms of level and variety of responsibility. The four studies chosen were:

- Yukl's research on categories of behavior important for managerial effectiveness which has resulted in an integrated taxonomy of managerial behavior (Yukl, 1989; Yukl, Wall, & Lepsinger, 1990).

- An observational study of the nature of managerial work from which twelve categories of managerial activities were derived (Luthans, 1988; Luthans, Hodgetts, & Rosenkrantz, 1988).

- Kotter's in-depth analysis of fifteen high-performing general managers which provided insights into their accumulated knowledge and relationships, basic personality, approach to the job, and daily behaviors (Kotter, 1982).

- Research on managerial learning and growth at the Center for Creative Leadership which resulted in a 16-dimension model of managerial effectiveness (McCall, Lombardo, & Morrison, 1988; McCauley, Lombardo, & Usher, 1989).

Brief descriptions of these research efforts are presented below. The overlap in findings from the corporate studies and the framework developed from the studies of principals is shown in Table 4 (pages 48-49). Defining the overlap was sometimes difficult since different researchers often used different terms for the same concept as well as similar terms for somewhat different concepts. Table 4 should be interpreted as a best approximation of conceptual overlap among a diverse set of findings.

Table 4
Comparison of Findings From Research on Principals and Corporate Managers

Principals	Yukl	Luthans	Kotter	CCL
Beliefs and Values about Education				
Cognitive Maps of Factors Influencing Schooling			Knowledge about business and organizations	
Information Processing and Decision Making Styles	Problem solving; Consulting; Monitoring environment	Decision making	Analytical and intuitive	Resourcefulness
				Decisiveness; Being a quick study
Setting Direction	Planning and organizing	Planning	Agenda setting	
Organizing and Implementing				Resourcefulness
	Delegating; Clarifying roles and objectives		Using networks to implement agenda	
Monitoring	Monitoring operations	Controlling		
Communicating	Informing	Exchanging information; Paperwork		
Developing Staff		Training/ developing		Setting a developmental climate

Table 4 (continued)

Principals	Yukl	Luthans	Kotter	CCL
Managing Relationships	Supporting; Managing conflict	Managing conflict	Creating networks	Building and mending relationships; Compassion and sensitivity
Adapting Actions to Context				Acting with flexibility
	Recognizing and rewarding	Motivation/ reinforcing	Creating networks	Leading subordinates
	Motivating			
	Networking	Interactions with outsiders		Building and mending relationships
		Socializing/ politicking		Straightforwardness and composure
	Team-building			Team orientation
		Staffing		Hiring talented staff
		Disciplining/ punishing		Confronting problem subordinates
			Personable	Putting people at ease
			Achievement-oriented; Ambitious	Doing whatever it takes
				Self-awareness
				Balance between personal life and work

Yukl's Taxonomy

In the mid-seventies, Yukl initiated a program of research to identify and measure categories of managerial behavior important for managerial effectiveness. The main method used in this research was a questionnaire (initially called the Managerial Behavior Survey but renamed the Managerial Practices Survey) which was used to obtain both self-ratings and ratings from coworkers on the extent to which a manager displayed a variety of behaviors. Various factor analyses of these questionnaires served as a basis for delineating a taxonomy of managerial behaviors. This method was supplemented with a variety of other research methods: diaries, critical incidents, interviews, judgmental classification of behaviors, and integration of behavior categories found in the literature on leadership and managerial effectiveness.

After over a decade of research, Yukl (1989) arrived at an integrated taxonomy that consists of eleven categories of behavior. The taxonomy strives to be parsimonious while including most aspects of managerial behavior relevant for understanding managerial effectiveness. The behaviors are also generic enough to be relevant to managers in a variety of situations. The behavior categories in the taxonomy, as measured by the Managerial Practices Survey, have been shown to be related to independent measures of managerial effectiveness (Yukl, Wall, & Lepsinger, 1990). An earlier version of this questionnaire was used in part of the research on principals conducted by the Florida Council on Educational Management (Martinko & Gardner, 1982).

Luthans et al.'s Observational Study

A four-year study by Luthans, Hodgetts, and Rosenkrantz (1988) looked at what mainstream managers do in their day to-day activities and how successful and effective ones differ from unsuccessful and less effective ones. Success was defined as speed of promotion within an organization. Effectiveness was based on ratings by the manager's subordinates on organizational unit effectiveness, satisfaction, and organizational commitment.

In the study, trained observers recorded in detail the behaviors and activities of forty-four managers from various levels and many types of companies. The data generated were reduced to twelve behavioral categories that could be conceptually collapsed into four managerial activities: Communication, Traditional Management, Networking, and Human Resource Management.

Data in these activity areas were collected on 248 additional managers. The amount of recorded activity in each area distinguished successful from unsuccessful managers in this group, with the largest differences occurring on Networking activities. The amount of activity in each area also distinguished more effective from less effective managers, with the largest differences occurring on Communication and Human Resource Management activities.

Kotter's Study of General Managers

Over a five-year period, Kotter (1982) conducted an in-depth study of fifteen general managers (i.e., individuals who hold positions with some multifunctional responsibility for a business) from nine different corporations. To be a candidate for inclusion in the study, there had to be some evidence (financial indicators or opinions of coworkers) that the manager was performing well in his job. The research was guided by a number of broad questions: What are general management jobs really like? What type of people tend to be effective in general management jobs? What do effective general managers do?

Multiple data collection methods were used: interviews with the manager and with others with whom they worked, observations over several days of the manager in action, examination of relevant written documents (e.g., job descriptions, appointment books, five-year plans), and questionnaires that captured the manager's interests and background. Using these fifteen cases, Kotter arrived at a rich description of the demands of the general management job. He also noted similarities as well as differences in both the personal characteristics and behaviors of these effective managers.

CCL Research on Managerial Learning

One of the Center for Creative Leadership's research projects has focused on how executives learn and grow over their careers (McCall, Lombardo, & Morrison, 1988). An assumption made in this research was that learning is driven by the manager's major work experiences. The purpose of the project was to understand which experiences mattered the most and what skills, perspectives, or values they taught. The project included in-depth interviews with 86 successful executives (i.e., still in the running for a top job) in three corporations, and open-ended questionnaires from 100 high-performing managers in several additional

corporations. Content analysis of this qualitative data resulted in sixteen categories of critical learning events (e.g., turning around an organization or unit in trouble, having a role model, and making a business mistake) and thirty-three categories of lessons learned from these events (e.g., how to direct and motivate subordinates, or how to cope with situations beyond your control).

A feedback instrument (Benchmarks®) was created for rating managers on the lessons identified in the qualitative studies (McCauley, Lombardo, & Usher, 1989). Factor and item analysis of this instrument yields sixteen managerial skill and perspective categories. Validation studies of Benchmarks® have provided support for the importance of these categories for managerial effectiveness.

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