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## The Relationship Among Principal's Leadership Behavior, the Instructional Leadership Climate, and Pupil Control Behavior

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THE RELATIONSHIP AMONG PRINCIPAL'S LEADERSHIP BEHAVIOR,  
THE INSTRUCTIONAL LEADERSHIP CLIMATE, AND PUPIL CONTROL  
BEHAVIOR

by

William Zielke

A Dissertation Submitted to the Faculty  
of the Graduate School of Loyola University of Chicago  
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MAY

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## VITA

The author of this dissertation, William Zielke, was born on June 8, 1946, in Chicago, Illinois.

He attended Chicago Public Schools and graduated from William R. Harper High School in June, 1964. He was admitted to Illinois State University and graduated in June, 1968, with a Bachelor of Science Degree. He was awarded a Fellowship in Special Education by the State of Illinois to pursue graduate studies in school psychology. However, the writer enlisted in the United States Army and served with the 2nd. Battalion of the Third Artillery, of the Third Armored Division. The writer received special weapons training and was awarded the Superior Student Award from the Third Armored Division. After receiving an honorable discharge in 1970, the Fellowship in Special Education was used and a Master of Science Degree in School Psychology was conferred in August, 1971 at Illinois State University.

The writer has spoken at several national conventions of the Association for Supervision and Curriculum Development, at the 1989 annual convention of the National

Association of Elementary School Principals, and at several state and regional conferences.

The writer was nominated for the National Leadership Award from the National School Safety Center, and received the Leadership Award from the Daughters of the American Revolution.

The writer was also the recipient of the Taft Fellowship for the Study of the Two Party System from Loyola University of Chicago

The writer has been a school psychologist, teacher of children with behavioral disorders, and assistant principal. Currently, the writer is the principal of North View Elementary School, in Bolingbrook, Illinois.

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## CHAPTER I

### INTRODUCTION

#### BACKGROUND OF THE STUDY

This study takes place at a time when there is real concern over the quality of education in America and our ability to compete successfully with other nations economically and technologically 1. The idea that a strong and effective educational system under girds our nation's economic strength is not new. In 1848, Horace Mann recognized the economic benefit of a well educated citizenry 2. The connection between education and economic growth was articulated by Schultz when he noted that some nations' gross national product had increased at a higher rate than one would expect by combining the traditional components of capital production: land, labor, and reproducible goods 3.

1. Lewis Lord and Mariam Horn, "The Brain Battle," U.S. News and World Report, January 19, 1987, pp. 58-64.

2. Horace Mann, 12th Report to the State Board of Education, (Boston, Massachusetts, (1848).

3. Theodore Schultz, Investment in Human Capital, (New York: Free Press, 1971), pp.1-17.

"Resource productivity" was the name Schultz gave to the difference between the actual level of a nation's gross national product and what one would expect based upon land, labor, and reproducible goods. By this definition, Japan would seem to have an abundance of resource productivity compared to the United States of America.

By acknowledging the connection between education and economic growth, America appears fearful that the current state of affairs in our educational system will compromise our ability to compete in world markets and threaten our leadership position among the other nations of the world 4.

This same message was brought home to the American public in 1983, with the publication of A Nation at Risk 5.

Thus, this study comes at a time when there is a perceived need to improve our schools if we are to keep our country economically and politically free.

#### NEED AND PURPOSE OF THE STUDY

If resource productivity is a significant factor in the wealth of nations, and if resource productivity is largely the result of the intellectual acumen brought about by the efficiency, effectiveness, and rigor of a nation's

4. Herbert Walberg, "Improving the Productivity of America's Schools," Educational Leadership, 41 (May 1984), pp. 19-27.

5. National Commission on Excellence in Education. A Nation at Risk, (Washington, D.C.: U.S. Government Printing Office, 1983), p. 5.

education institutions, then one must discover ways and means to improve the educational enterprise so that a nation's resource productivity can remain competitive and strong. What are some of the ways and means to improve the quality of American education? Certainly ways and means which have demonstrated their affect upon improving the educational enterprise are very useful and are indeed needed. Thus, the purpose of this study is to explore particular facets of leadership and investigate if they are positively related even though they are separate and distinct attributes.

By assuming that these attributes are positively related a need which many school administrators have, will be met. That is, to the question "Are there things I can do to improve the educational effectiveness of my school?" this study will determine whether an affirmative answer can be made.

#### DEFINITION OF THE PROBLEM

Leadership does not simply exist. It is performed within a context which is the organization. The task of leadership is to marshal the tangible and intangible, capital and human resources in such a way as to achieve the objectives and goals of the organization. Leadership is best exemplified when it accomplishes organizational objectives and goals in effective and efficient ways 6.

Of late, several books have been written praising those who successfully practice leadership and who have achieved resource productivity within their industries. Representative of this genre are Theory Z, by Ouchi; In Search of Excellence, by Peters and Waterman; and Leaders, by Bennis and Nanus 7, 8, 9.

For schools, the issue of leadership and the manner and means by which objectives and goals are accomplished, are just as relevant as they are in industry. In fact, even the Association for Supervision and Curriculum Development entitled its 1987 Yearbook, Leadership: Examining the Elusive 10.

But, is leadership elusive? Is school leadership also amorphous? The issue of leadership, because it is so important and significant a concept, has been studied and examined quite extensively. Many of the earlier studies of leadership focused upon the traits of the leader. Traits

6. Chester Barnard, The Functions of the Executive, (Cambridge: Harvard University Press, 1938), p. 60.

7. William Ouchi, Theory Z, (Reading, Massachusetts: Addison Wesley Publishing Company, 1981).

8. Thomas Peters and Robert Waterman Jr., In Search of Excellence, (New York: Harper and Row Publishers, 1982).

9. Warren Bennis and Burt Nanus, Leaders, (New York: Harper and Row Publishers, 1985).

10. Yearbook of the Association for Supervision and Curriculum Development, Leadership: Examining the Elusive, (Alexandria, Virginia, 1983).

such as intelligence, birth order, childhood experiences, and socio-economic variables have been researched and the results have generally been inconclusive 11. So, instead of looking for leadership traits, researchers turned their attention to what leaders do. A leader has two basic and broad domains with which to be concerned: the mission of the organization; and the people who work for it.

Too much of a concern and emphasis on the mission may alienate the leader from the subordinates and they may distance themselves from the leader and organizational goals. Too much emphasis placed upon the level of satisfaction or happiness may keep the organization from completing its mission in the most efficient and productive manner.

One of the best known series of studies on the dual concerns of leadership are The Ohio State Leadership Studies, begun by Hemphill and Coons and subsequently refined by Halpin and Winer 12, 13. These men worked under the basic premise that there are two fundamental, yet

11. Ralph Stogdill, "Personal Factors Associated with Leadership: A Survey of the Literature," Journal of Psychology 25 (1948): 35-71.

12. John Hemphill and Alvin Coons, Leadership Behavior Description, (Columbus: Personnel Research Board, Ohio State University, 1950).

13. Andrew Halpin and B. Jones Coons, The Leadership Behavior of the Airplane Commander. (Washington D.C.: Human Resources Research Laboratories, Department of the Air Force, 1952).

separate, dimensions of leadership. They termed these dimensions initiating structure and consideration. Initiating structure is related to a leader's concern for the mission. Leadership behaviors which define work roles, lines of communication, establish rules and regulations, supervise the work of others, and focus on getting the job done in the most effective manner fall within the dimension of initiating structure 14. The kinds of things leaders do within the dimension of consideration would be to make oneself available and listen to subordinates, treat everyone with respect and dignity, do favors, and pay attention to the little things which make membership in the work group pleasant 15.

The body of studies which came out of the work of Halpin and others tended to show that the best leaders were high in both dimensions. The poorer leaders were lowest in both dimensions. If we start from the premise that leadership is not amorphous but that it is characterized by at least two basic components known as initiating structure and consideration, one can begin to discuss the quality of leadership as measured against these factors.

Does knowing how school principals measure up in terms of initiating structure and consideration tell the whole story? If a principal demonstrates initiating 14.

14. Andrew Halpin, Theory and Research in Administration, (New York: Macmillan, 1966), p. 33.

15. Ibid., p. 33.

structure and consideration behavior, does this tell us all we need to know in terms of the effectiveness and efficiency with which the school meets its complex mission of educating students? Many educational researchers would say "no." They would point to the whole body of research which comes from the effective schools literature. This literature has consistently connected specific behaviors of the principal with a climate or ethos that is solely held responsible for greater than expected academic achievement levels 16,17.

In several effective schools studies, schools called outliers were identified 18. An outlier is a school whose students score higher than schools whose students share the same demographic characteristics, especially those socio-economic correlates which typically seem to be negatively correlated with school achievement. In outlier schools, the leadership vested in the principal "is characterized by several behaviors which hardly sound elusive. The behavior of the principal is a primary cause in producing effective effective schools 19."

16. Michael Rutter et al., Fifteen Thousand Hours, (Cambridge: Harvard University Press, 1979), p. 183.

17. Ronald Edmonds, "Effective Schools for the Urban Poor," Educational Leadership, 37 (October 1979): 15-27.

18. Wilbur Brookover and John Schneider, "Academic Environment and Elementary School Achievement," Journal of Research and Development in Education, 9 (Fall 1975).

19. George Weber, Inner City Children can be Taught to Read: Four Successful Schools, (Washington D.C.: Council for Basic Education, 1971).



In the studies of effective schools, another component, beside the instructional climate or ethos, seems to be positively related to achievement levels. That component is a safe and secure environment 20. How does a principal go about developing this kind of climate? What means might a principal employ to reach this goal? A principal might act like either Captain Queeg or Lieutenant Keith. Both officers exerted discipline and effected the climate aboard the U.S.S. Caine 21. However, the way they went about establishing discipline and organizing the men were drastically different. These two officers are representative of two opposite ways to develop discipline: that is through custodial or humanistic means. If one were to approach the task of developing discipline through custodial methods, one would be authoritative, centralize all decision making power, act unilaterally, and use rigid disciplinary tactics. If one were to develop discipline through a humanistic approach, one would be a good listener, open to suggestions, share decision making power, work for consensus and treat others with dignity and respect.

20. Edward Wayne, "Looking at Good Schools." Phi Delta Kappan, 62 (January 1981): 377-381.

21. Herman Wouk, The Caine Mutiny, (Garden City, New Jersey: Doubleday & Company, 1951)

School principals, like Navy captains, must establish discipline in order to ensure a safe and secure environment. No doubt, some principals are more oriented toward the custodial strategy while others prefer the humanistic approach. Does the end justify the means? Does it matter what methods or strategies a principal employs to develop a safe and secure environment? Is the way a principal goes about this task related to the broader question of the principal's leadership?

How does a school principal exercise leadership in order to create a positive climate? Is there a relationship between the overall quality of the principal's leadership (in terms of initiating structure and consideration behavior) with the leadership correlates found in the effective schools research, and the manner in which the principal goes about controlling the students' behavior? This dissertation is about these questions.

#### STATEMENT OF THE PROBLEM

This dissertation explores the relationship among the quality of the principal's leadership as measured by his initiation structure and consideration behavior, the instructional leadership climate of his school, and how he controls student behavior.

## THEORETICAL FRAMEWORK

## LEADERSHIP BEHAVIOR

Halpin wrote,

" Practical men know that the leader must lead must initiate action and get things done. But because he must accomplish his purposes through other people, and without jeopardizing the intactness and integrity of the group, the skilled executive also knows that he must also maintain good human relations 22."

Based upon this pragmatic view of leadership, Halpin conceptualized leadership as composed of two factors: getting the job done and having a concern for people and morale.

More broadly stated, Halpin analyzed the task of "getting the job done" into specific behaviors which he subsumed under the concept of initiating structure. Simply stated, initiating structure refers to behavior which focuses on defining the working relationship between the leader and subordinates, developing procedures and regulations, establishing the form and method of communication, and getting the subordinates to behave in predictable ways when dealing with issues which are related to the mission of the organization 23. In analyzing the task of establishing and maintaining morale and behavior showing a concern for people, Halpin subsumed several characteristics under the

22. Halpin, Theory and Research, p., 87.

23. Ibid., p., 86.

concept of consideration. Behavior which establishes trust between the leader and followers, mutual respect, friendship and generally a feeling of warmth are the basic ingredients of consideration 24.

Halpin makes it a point, however, to explain that consideration and initiating structure are not leadership traits. Actually, Halpin studied leader behavior, not leadership. He was careful to draw the distinction between the two lest we become confused and use the terms as if they were synonymous. Halpin disdained the use of the term "leadership" as he felt it connoted an innate ability. Treating leadership as an innate ability also implied one was or was not born with this capacity. By focusing on leader behavior Halpin felt that we can deal with observable behavior which can be shaped via training and education 25.

Following this line of reasoning Halpin concluded there was a "g factor" to administration 26. Thus, the things that make a hospital administrator successful are the same things that make a school, business, or government administrator successful. People who hold these positions are leaders by virtue of their position and have the same general tasks of meeting the organization's objectives and maintaining effective working groups among the staff. While

24. Ibid., p. 86.

25. Ibid., p. 40

26. Ibid., p. ix

the technological skills and requirements among administrative positions in different lines of work vary, the task of administration does not. In any administrative position there are four dimensions which are always present: the task, the formal organization, the work group, and the leader 27.

The Task. This represents the organization's mission. Schools educate, businesses manufacture or sell, and hospitals care for the sick. Sometimes the organization gets into trouble because the mission has not been well defined or understood. Sometimes, because of changes in demographics, politics, or economics, the task needs to be shifted; but no one has yet recognized this fact or done anything about it. One of the most important problems for administrators is to define the organization's task so that is understood by the people in the organization 28.

The Formal Organization. This is a group of people who have unique relationships to one another. Their relationships are stratified and differentiated in terms of the kinds of work to be done and the levels of responsibility and authority they have. However, these stratified and differentiated positions are all related to carrying out the organization's task. Thus, the formal organization

27. Ibid., pp. 26-29.

28. Ibid., p. 29.

defines the work one is expected to do and the people with whom one is expected to work 29. The Western Electric Studies, however, have shown things are not that simple 30. In these famous studies the emergence and importance of the informal organization was discovered. Within the formal organization which defines expectations, lies the informal organization which defines reality. The informal organization defines the work which is actually done and the people with which one actually works. The administrator must be sensitive to both levels of organization and manage them in such a manner that the task is being accomplished.

The Work Group. The formal organization is made up of work groups. The work groups have differentiated status not only among, but within themselves, too. Work groups are not nameless or impersonal. The people in work groups have frequent and direct access to their administrator. The interactions among the people in the work group and between it and the administrator are of critical importance to the organization's ability to achieve its tasks successfully 31.

The Leader. Every organization has administrators or leaders. Some are leaders of the smaller work groups. Others are leaders of the work group leaders. Regardless of

29. Ibid., p. 31.

30. Fritz Roethlisberger and William Dickson, Management and the Worker, (Cambridge, Massachusetts: Harvard University Press, 1942).

31. Halpin, Theory and Research, p. 32.

where leaders are located within the administrative hierarchy, they all have some basic tasks such as solving problems, making decisions, or functioning as a group leader of the work group 32.

As a decision maker and problem solver the leader must order the problems and this requires skill and perceptiveness. Being able to order the problems effectively will be affected by the demands of the situation. In some situations, morale or problems of group satisfaction need to be stressed. At other times, task oriented problems are pre-eminent.

A leader of a work group must be concerned with two objectives: the productivity of the work group, and developing cooperation and satisfaction among the work group members. These objectives did not originate with Halpin. He leaned heavily upon the earlier work done by Barnard when he developed the concepts of effectiveness and efficiency 33. Effectiveness deals with getting the task done. Efficiency deals with the individual's satisfaction and willingness to work together to accomplish the task.

As Halpin focused upon the observable behavior of administrators or leaders, he was not content to shape the concepts of effectiveness and efficiency into a new mold.

32. Ibid., p. 32

33. Barnard, The Functions of the Executive.

Halpin's orientation was to define behaviors which could be considered exemplars of effectiveness and efficiency.

Hemphill and Coons did the original work in designing a questionnaire to measure the behavior of leaders 34. Halpin and Winer modified this instrument and used it in their research on leadership behavior 35. Halpin developed the constructs of initiating structure and consideration to correspond to the basic work group goals of task achievement and group maintenance.

In this dissertation, the leader behavior of elementary school principals is assessed and considered along with two other dimensions: the school leadership climate, and how the principal controls student's behavior.

#### INSTRUCTIONAL LEADERSHIP CLIMATE OF EFFECTIVE SCHOOLS

The correlates of instructional leadership which come from that body of research known as the effective schools studies, ironically may have evolved from another body of research that tended to show that schools were ineffective. Research on the ineffectiveness of schools centered on the nature nurture debate. Some of the well publicized research

34. John Hemphill and Alvin Coons, "Development of the Leader Behavior Description Questionnaire," in Leader Behavior: Its Description and Measurement, ed. Ralph Stogdill and Alvin Coons (Columbus, Ohio: The Bureau of Business Research, The Ohio State University Press, 1957), pp. 6-38.

35. Halpin and Winer, Leadership Behavior of the Airplane Commander.



and reports said the schools can do little to help a child overcome the effects of his family's socio-economic condition. If the family is at or near the bottom of our society's socio-economic hierarchy, then there is a strong probability that the children of this family will also be at or near the bottom of our schools' educational achievement hierarchy, regardless of the amount of money spent to improve the educational lot of these children 36.

Looking to the "nature" argument, some researchers said that school achievement is significantly related to intelligence; that intelligence is primarily an inherited trait; and that schools can do little more than trigger the potential of this innate ability 37. However, just as Newton's Third Law of Physics, which states that for every action there is an equal and opposite reaction, other researchers began to look for schools which seemed particularly successful in teaching students 38. As one of the first and most renowned researchers of effective schools, Ronald Edmonds noted that the first part of his research entailed not the development of effective schools

36. James Coleman et al., Equality and Educational Opportunity, (Washington, D.C.: U.S. Government Printing Office, 1966), pp. 275-301.

37. Arthur Jensen, "How Much Can We Boost Intelligence and Scholastic Ability?" Harvard Educational Review, 39 (Winter 1969): 1-123.

38. Isaac Newton, Principia, 1687.

but rather their discovery 39. Effective schools were discovered through a statistical technique which identified certain schools as "out-liers." The work of Weber is illustrative of this approach of discovery 40. In three major cities, Weber investigated students' reading scores on a nationally normed, standardized achievement test. He discovered that some schools had an unusually high number of students scoring above the national norms as compared to other inner city schools which had similar demographic characteristics. These schools were out liers. Dyer took the next step and developed a model for identifying effective schools 41. In his model, school achievement scores were predicted from non school characteristics such as the family's income, the educational level of the parents, whether both parents were employed, and if both parents still lived at home. In short, Dyer considered all of the demographic characteristics Coleman identified as having a large and significant effect upon whether or not a child would succeed or fail in school 42. Then Dyer

39. Ronald Edmonds, "Effective Schools for the Urban Poor," Educational Leadership, 37 (October 1979): pp. 15-27.

40. George Weber, Inner-city Children Can Be Taught To Read: Four Successful Schools, (Washington, D.C.: Council for Basic Education) 1971.

41. H.S. Dyer, "Some Thoughts About Future Studies," in On Equality of Educational Opportunity, edited by F. Mosteller and D. Moynihan, (New York: Vintage Press, 1972).

42. Coleman, Equality of Educational Opportunity, pp. 299-312.

compared the actual score a child received on a national achievement test to his predicted score. Why did some schools perform better, or were more effective than their demographically similar counterparts? Klitgaard and Hall used Dyer's model for identifying overachieving or effective schools and found a constellation of attributes which were characteristic of each of these schools 43. Among these characteristics was a strong leadership climate.

Additional studies on effective schools began to identify certain practices, behaviors, and perspectives of shared beliefs that seemed to be common to effective schools and rare in ineffective ones. These practices came to be known as the correlates of effective schools. While not every researcher discovered the identical set of correlates, there was a sizable degree of similarity. One correlate which was found in many studies was the climate of leadership which existed in effective schools 44, 45, 46.

43. R.E. Klitgaard and G.A. Hall, A Statistical Search for Unusually Effective Schools, (Santa Monica, California: The Rand Corporation, 1973).

44. Wilbur Brookover et al., School Social Systems and Student Achievement: Schools Can Make A Difference, (New York: Praeger Publishers, 1977).

45. Donald Clark, L. Lotto, and M. McCarthy, "Factors Associated with Success in Urban Elementary Schools." Phi Delta Kappan, 61 (March 1980): 467-470.

46. S.C. Purkey and M.S. Smith "Effective Schools A Review," Elementary School Journal, 83 (March 1985): 353-389.

Based upon the significance of leadership climate as a correlate of effective schools, this dissertation will further explore its presence as related to the principal's leadership behavior and the way pupils' behavior is controlled.

### PUPIL CONTROL BEHAVIOR

A school is an organization and has a reason for its existence. Unlike an organization such as General Motors or Ford whose purpose is to manufacture and sell inanimate, tangible and material products, a school's product is learning.

Learning is a process which comes about through interaction and has said to have occurred when a persistent change is observed 47.

Given this definition of learning which involves a change in behavior that persists over time, the schools are not only charged with the mission of producing students who have learned to read, write, and compute, but also to produce students who have learned how to behave in school so that a safe and orderly school like environment can exist. Carlson noted that public schools share some significant characteristics with two other types of organizations

47. Robert Gagne, Essentials of Learning for Instruction, (New York: Holt, Rinehart, and Winston, 1975) p. 5.

concerned with learning or behavior change 48. These other two organizations are prisons and mental hospitals. The shared characteristics are: the organization has no say in 'who its "clients" will be, once in the organization the "clients" must participate in its rules and regulations to avoid negative consequences, and each organization is expected to cause the "clients'" behavior to change in predictable ways. Thus, the behavior of each "client" is of utmost concern. To say that the public, parents, and educators are concerned with pupil control is almost an understatement. Pupil control issues have been the focus of several cases of the United States Supreme Court 49, 50. The 1987 Gallup Poll shows that discipline in the schools is one of the major concerns today 51.

But is the issue of pupil control one dimensional? Is there only one way to achieve it? Willower determined that the concept proposed to explain client control in prisons and mental hospitals could also be applied to

48. Richard Carlson, "Environmental Constraints and Organizational Consequences: The Public Schools and Its Clients," in Behavioral Science and Educational Administration, edited by Daniel Griffiths, (Chicago: University of Chicago Pres, 1964).

49. Goss v. Lopez, 419 U.S. 565 (1975).

50. Tinker v. Des Moines Independent Community School District, 393 U.S. 503 (1969).

51. Aleci Gallup and Diane Pullin, "The 19th. Annual Gallup Poll of the Publics Attitudes Toward the Public Schools," Phi Delta Kappan, 69 (September 1987): 17-31.

schools. This concept held that how client's behavior is controlled can be placed along a continuum ranging from humanistic to custodial 53. A custodial approach to client or student control would primarily be concerned with maintaining order. Many rules, regulations, and enforcement policies are seen as necessary because students are viewed as being irresponsible, untrustworthy, generally lacking in respect for others, and unable to work cooperatively.

In a custodially oriented school, teachers perceive a student's misbehavior as a personal insult instead of trying to understand why the child behaves as he does 54. A humanistic approach to client or student control would primarily concern itself with the goal of developing self-discipline. Cooperation, courtesy, and empathy are qualities the humanistic school would try to develop. Students are respected and listened to. Two way communication between the students and school staff is encouraged. When misbehavior does occur, the psychological or sociological motivations are considered 55.

53. Donald Cressey, "Prison Organizations," in The Handbook of Organizations, edited by James March, (Chicago: Rand McNally and Company, 1965)

54. Wayne Hoy and Cecil Miskel, Educational Administration: Theory, Research, and Practice, (New York: Random House, 1978), p. 152.

55. Ibid., p. 152.

Utilizing this typology of custodial/humanistic control, Willower developed the Pupil Control Ideology Form (PCI) 56. The PCI is administered to a faculty and empirically represents an estimate of the school's orientation toward the humanistic or custodial dimension. The PCI is limited, however, in that it equates the respondent's perceptions to overt behavior. In other words, the PCI may tend to show that a respondent perceived himself as leaning toward a particular style of pupil control even though his behavior might be otherwise 57. To counter this criticism, the Pupil Control Behavior Form was developed.

The PCB assesses the behavior an educator uses to control students. Do educators behave more in accordance with the humanistic or custodial model and does it matter? This dissertation investigates the question as it relates to principals' leadership behavior and the instructional leadership climate in their school.

56. Willower, The School and Pupil Control Ideology.

57. Ray Helsel and Donald Willower, "Toward Definition and Measurement of Pupil Control Behavior," The Journal of Educational Administration, 12 (May 1974): 114-123.

## HYPOTHESES

This dissertation investigates six hypotheses:

1. There is a significant difference between the means of the four highest and lowest scoring principals on the Leadership Behavior Description Questionnaire.
2. There is a significant difference between the means of the highest and lowest ranking principals as identified by the LBDQ, on the Leadership Scale of the Illinois Quality Schools Index.
3. There is a significant difference between the means of the four highest and four lowest ranking principals, as identified by the LBDQ, on the Pupil Control Behavior Form.
4. There is a positive correlation between the Leadership Behavior Description Questionnaire and the Leadership Scale of the Illinois Quality Schools Index.
5. There is no significant difference in the rank order of the mean scores on the Leadership Scale of the Illinois Quality Schools Index and the Pupil Control Behavior Form.
6. There is no significant difference in the rank order of the mean scores on Leadership Behavior Description Questionnaire and the Pupil Control Behavior Form.



Putting each of these six hypotheses together a collage of school leadership begins to emerge. Within this collage, school leadership is viewed from differing perspectives, each making its own contribution yet each complimenting the other to develop a larger view of leadership. First of all, successful leadership is getting the job done and keeping people motivated enough to be willing to do their part effectively and efficiently. The Leadership Behavior Description Questionnaire, using the dimensions of "initiating structure" and "consideration" provides a direct measure of these dual tasks of leadership. In fact, the first three hypotheses of this dissertation rest upon the assumption that principals differ in the degree to which they engage in behavior which initiates structure and is considerate, that the LBDQ will be sensitive to these differences, and two distinct groups of principals can be identified. One group is composed of those four principals who achieve the highest scores on the LBDQ. The other group is composed of those four principals who achieve the lowest scores on the LBDQ.

The second hypothesis asserts that a principal's high or low rating on the LBDQ is indicative of more than the frequency of initiating structure and considerate behavior. This hypothesis holds that within the context of these two LBDQ dimensions, principals who receive "high marks" also set in motion and put into place ways of doing

things which are characteristics of good instructional leadership as developed and defined from the effective schools' research. Conversely, principals who receive "low marks" on the LBDQ do not have these characteristics in place.

The Leadership Scale of the Illinois Quality Schools Index assesses those instructional leadership characteristics discovered through the effective schools studies. On this instrument, teachers' responses are compared as to the degree of agreement between those instructional leadership characteristics they regard as most significant, and the extent to which they are demonstrated in their school. Because the degree which teachers' perceive a characteristic being demonstrated is subtracted from the degree to which they feel the characteristic is significant in promoting learning amongst the students, a smaller remainder reflects more agreement. Perfect agreement results in a score of zero. The farther the score is from zero, the greater the level of disagreement.

Acceptance of this hypothesis would mean that those principals selected on the basis of their LBDQ scores do, in fact, significantly differ in the degree of agreement as measured by the Leadership Scale of the Illinois Quality Schools Index. The group of "top" principals would have more consensus among their faculty that those characteristics of instructional leadership which do impact student

learning were present to a greater degree than the teachers in the schools administered by the "bottom" principals.

The third hypothesis asserts that principals who are differentiated on the basis of their LBDQ scores would differ in their approach to student discipline. The "top" principals would be more humanistic in their pupil control behavior style than the "bottom" principals. Underlying this hypothesis is the assumption that the way a principal responds to the faculty would be related to the way he responds to students as well. As the top group of principals were so chosen because of, in part, their considerate behavior it seems to follow that they would also tend to be more humanistic in their dealings with students than principals in the bottom group who rate low in the consideration dimension.

These first three hypotheses represent the major presupposition of this study because, when taken together they assert that principals who exhibit frequent leadership behavior will also have schools characterized by an effective instructional climate, and will control students' behavior through a humanistic style.

These three hypotheses are assessed using the t-test and represent measurement in discrete terms. That is, the t-test demonstrates that the mean scores between the top and bottom groups of principals on the LBDQ, Leadership Scale of the IQSI, and PCB are or are not statistically

different. If the mean scores are statistically different then this study's major presupposition is affirmed.

Hypotheses four, five, and six are considered secondary to the first three as they deal with the incremental relationships between the LBDQ, Leadership Scale of the IQSI, and Pupil Control Behavior Form. The statistical tests for these hypotheses include the Pearson Product Moment correlation coefficient, the Mann-Whitney U-Test, and Kendall's Tau. These statistical tests do not assess the discrete "either or" relationship as does the t-test. Rather, they describe if there is an incremental or step by step relationship between the dimensions researched in this study.

The fourth hypothesis asserts there is a positive correlation between a principal's rating on the LBDQ and the degree of congruence, or agreement, on the Leadership Scale of the IQSI. If a positive relationship is found between these two instruments, then an incremental relationship has been demonstrated, and as principals exhibit more leadership behavior there will also tend to be a greater degree of congruence in the leadership climate of their schools.

The fifth hypothesis asserts that there will be no significant difference in the rank order of the mean scores on the Leadership Scale of the IQSI and PCB. That is, when the mean scores on the Leadership Scale of the IQSI

are rank ordered from the schools with the greatest to least degree of incongruence, the rank ordering of the schools whose principals demonstrate custodial to humanistic pupil control behavior styles will be statistically similar. Such a finding would enable one to say that as more congruence is reached concerning the instructional leadership climate of the school, the more humanistic behavior the principal demonstrates in his pupil control methods. The Mann-Whitney U-Test will be used to assess this hypothesis.

The sixth hypothesis asserts that the ranking of a principal's mean LBDQ score will be statistically similar to the ranking of his mean score on the PCB. Such a finding would enable one to say that as a principal demonstrates more initiating structure and consideration behavior, the more humanistic behavior they will also demonstrate in their pupil control methods. The Kendal Tau test will be used to assess this hypothesis.

## PROCEDURES AND METHODOLOGY

### SELECTION OF THE PARTICIPANTS

The schools which participated in this study were all public elementary schools located in the villages of Bolingbrook, Cicero, Countryside, Romeoville, Westmont, and Woodridge, Illinois. First, the writer discussed the study with the district superintendent. If the superintendent agreed to participate, the building principals were asked to

volunteer. In some cases, building principals asked their faculties whether or not they wanted to participate. In other cases, the principals made the decision to participate and informed their faculties.

A total of twenty schools participated in this study, but the unit of study was the teachers in each building and students in grades three, four, and five.

In each school, the Leadership Behavior Description Questionnaire was administered to the faculty by the researcher. The Leadership Scale of the Illinois Quality Schools Index was also administered. The faculties in each of the twenty schools rated their principal on the LBDQ. They also rated the leadership climate of their schools on the Leadership Scale of the Illinois Quality Schools Index.

From this pool of data the four principals who ranked the highest on the LBDQ, and the four who ranked the lowest were identified. After these schools were identified the researcher administered the Pupil Control Behavior Form to students in grades three, four and five. The data from these eight schools were analyzed relative to the hypotheses.

In all, the total sample consisted of eight principals, one hundred fifty six teachers, and six hundred twenty five students.

## DESCRIPTION OF THE INSTRUMENTS

## LEADERSHIP BEHAVIOR DESCRIPTION QUESTIONNAIRE

The Leadership Behavior Description Questionnaire, originally developed by Hemphill and Coons and adapted by Halpin and Winer, is a forty item questionnaire on which responses are recorded on a Likert like scale 58, 59. Respondents indicate the frequency with which their leader engages in certain behaviors. The frequency may range from "always" to "never." Of the forty items, only fifteen are scored for each dimension: initiating structure and consideration. The correlation between the two dimensions is .38. Split half reliability is .83 for initiating structure and .92 for consideration 60.

## LEADERSHIP SCALE OF THE ILLINOIS QUALITY SCHOOLS INDEX

The Leadership Scale of the is one of eight scales of the Illinois Quality Schools Index 61. The entire Index and each individual scale has no empirical data concerning reliability. Thus, although the scale is without norms

58. Halpin and Winer, Aircraft Commander.

59. Hemphill and Coons, "Development of the LBDQ."

60. Andrew Halpin, Manual for the Leadership Behavior Description Questionnaire, (Columbus, Ohio: The Ohio State University, 1957).

61. Department of Regional Services, Illinois Quality Schools Index, (Springfield, Illinois: Illinois State Board of Education, 1984).

it does provide a quantitative measure of the degree of congruence between two important variables. They are the degree teachers value specific instructional leadership characteristics and the degree they are demonstrated in their school. The greater the amount of congruence the smaller the score. The ability to derive a quantitative measure of the congruence between these variables enable comparisons to be made between schools concerning the instructional leadership climate. In this research study the degree of congruence in a school is a dependent variable which is compared to the independent variable of the principal's leadership behavior.

The Leadership Scale of the IQSI was developed from the effective schools literature. It is composed of thirty items. Each item is an instructional leadership characteristic. When teachers fill out the scale, they are instructed not to think of their principal but the climate of the school. The purpose of the scale is to assess the leadership climate of the school, not the leadership of the principal.

The leadership scale is subdivided into two subscales, "A" and "B." Teachers respond only to one scale. When the Leadership Scale is administered one half of the teachers are directed to respond to subscale "A" and the other half to respond to subscale "B." Subscale "A" asks the teachers to rate the extent to which the school



demonstrates a particular characteristic. The rating options range from "none " to "very great." Subscale "B" asks the teachers to rate the instructional importance of each characteristic. The rating options range from "not important" to "very great." Each subscale also has a column for teachers to mark "undecided."

The purpose of the Leadership Scale is to identify areas of congruence or incongruence. That is, the Leadership Scale compares those instructional leadership characteristics which are present in the building's climate to those instructional characteristics which the teachers think are the most important. An example of areas of congruence would occur when the faculty notes a particular leadership characteristic being present to a great extent and is also highly valued. Congruence could also occur when a particular leadership characteristic is demonstrated very little and is also not valued very highly. Examples of incongruence would occur when a characteristic was valued highly but not demonstrated in the school climate, or not valued highly but demonstrated to a considerable extent.

#### PUPIL CONTROL BEHAVIOR

The Pupil Control Behavior Form is a twenty item Likert like instrument 62. Students rate the frequency with which their principal engages in certain behaviors.

62. Helsel and Willower, "Toward Definition and Measurement of Pupil Control Behavior." p. 114.

The response choices range from "never" to "always." Each form is scored individually. After each PCB is scored, the mean for the school is calculated. The higher the mean score the more the students perceive the principal behaving in a custodial manner to control their behavior. The reliability of the PCB used with school principals is .93. The mean score for principals perceived as humanistically oriented is 53. The mean score for principals perceived as custodially oriented is 64.

Willower has refrained from developing norms for the PCB because the instrument was developed for research, not diagnostic purposes 63. As a research device, the results of the PCB are time and place bound, and norms would lend themselves to rigid interpretations. The results of the PCB are time bound because society's views on discipline change with shifts in our values, economic or legal structure. PCB results are also place bound because within any given time setting, local control of the schools may effect the style and standards for pupil control behavior.

#### ADMINISTRATION OF THE TESTS

All tests were administered to the teachers within the school and to the students in their classrooms. The

63. Donald Willower, "Schools and Pupil Control," in Educational Organization and Administration, edited by Donald Erickson, (Berkeley, California: McCutchan Publisher, 1981), pp. 296-311.

researcher administered all of the instruments. The Leadership Behavior Description Questionnaire and the Leadership Scale of the Illinois Quality Schools Index were administered to the faculties at regularly scheduled faculty meetings. The Pupil Control Behavior Form was administered to students in their classrooms with the teacher present.

### STATISTICAL METHOD

Several statistical methods were used to assess the hypotheses, among them being the Student's t-test, Pearson's Product-Moment correlation coefficient, the Mann-Whitney U-test, and Kendall's Tau. T-tests were used to investigate whether there was a significant difference between the mean scores of the four top and four bottom schools, from the sample of twenty, on the Leadership Behavior Description Questionnaire, Leadership Scale of the Illinois Quality Schools Index, and Pupil Control Behavior Form.

Pearson's correlation coefficient was used to assess the relationship between a principal's rating on the LBDQ and the degree of congruence in the school's instructional leadership climate as assessed by the Leadership Scale of the IQSI.

The Mann-Whitney U-Test was used to assess if the ordinal ranking of schools in terms increasing levels of congruence in the instructional leadership climate (as assessed by the Leadership Scale of the IQSI), was signif-

icantly similar to the ordinal ranking of a principal's increasing use of humanistic pupil control behavior, as per the PCB.

Kendall's Tau was used to assess if the ordinal ranking of schools in terms of their principal's higher ratings of leadership behavior, as per the LBDQ, was significantly similar to the ordinal ranking of the principal's increasing use of humanistic pupil control behavior, as per the PCB.

#### LIMITATIONS OF THE STUDY

The findings of this study are limited in interpretation to suburban elementary schools and regular education programs. Class sizes are not less than seventeen nor more than thirty students, without an aide. Principals are all properly certificated and meet Illinois requirements for an administrative certificate. All of the principals are in charge of only one building.

#### SUMMARY

Leadership is an important commodity. In this age of educational reform, much has been written about principal's leadership. Can their leadership behavior be measured? Halpin and Winer answer this question affirmatively 64.

Their research led them to conclude that two primary components of leadership are initiating structure and consideration. Once this leadership topology had been established, additional research showed that the most successful leaders were high in both characteristics, whereas the least successful ones were low in both. Thus, initiating structure and consideration are two important components of leadership. They need to be investigated so that more information is available to principals so they can become more effective leaders.

Another dimension of leadership discovered through the effective schools literature is the leadership climate that exists within a school building. This characteristic was usually present in those public schools whose students were achieving at greater than expected levels, given the socio economic characteristics of their families. The leadership climate can be assessed and compared to the leadership behavior of the principal in order to discover the relationship.

Lastly, pupil control is a significant task for schools. Without a means to control and change pupils' behavior, the school may be chaotic, unsafe, or unable to fulfill the primary function of causing students to learn. How a school principal goes about controlling pupils behavior is an important issue. If the principal perceives pupils as untrustworthy, uncaring and able to be controlled

only through a set of rigid rules, then the principal is behaving in accordance with a custodial model of pupil control. If the principal establishes a democratic atmosphere, has two way communication between the pupils and faculty, and is striving to teach the students self control, he is behaving in accordance with the humanistic model of pupil control.

This dissertation explores the relationship among a principal's leadership behavior, the leadership climate of the school, and the approach taken to control pupil behavior.

This chapter discussed how the participants were selected, statistical information about the instruments used, how the instruments were administered, and the statistical methods used to analyze the data.

## CHAPTER II

### REVIEW OF RELATED LITERATURE

#### INTRODUCTION

This dissertation investigates three components of a school administrator's role: his leadership behavior, the instructional leadership climate of the school, and how student behavior is controlled. The review of the literature will deal with each component separately.

#### LEADERSHIP BEHAVIOR

In this dissertation high ratings on the LBDQ are considered desirable and indicative of better leadership behavior than low ratings. The basis for this premise is the number of studies which have shown higher LBDQ scores to be related to other measures of effective or better leadership. In one of the first studies using the LBDQ, Halpin studied aircraft commanders of B 29's flying combat missions over Korea 1. In this study, the commanders were rated by their superior officers and crew. The commanders were rated by their superiors on an instrument developed by

1. Halpin, Theory and Research, pp. 91-93.

the Air Force to assess overall effectiveness in combat. The crews rated their commanders on an instrument known as the Crew Satisfaction Index. The superior officers and crews also completed the LBDQ on the commanders.

A high positive correlation of .75 was found between the LBDQ dimension of consideration and the Crew Satisfaction Index. A moderate positive correlation of .51 was found between initiating structure and the Crew Satisfaction Index. This study also found that the commanders, who their superiors rated in the top and bottom fifteen percent in overall combat effectiveness, differed in their LBDQ ratings as well. For the top fifteen percent of the aircraft commanders, their LBDQ ratings were above the mean for the whole group of commanders studied. The bottom group of commanders had LBDQ ratings which were below the mean. The difference in the LBDQ ratings for these two groups of commanders was statistically significant at the .03 level of probability.

House, Filley, and Kerr studied the relationship between consideration and initiating structure and the job satisfaction of employees of a refinery, salesmen, and enlisted men in the Air Force 2. A total of four hundred sixty LBDQ's and Job Description Questionnaires were administered. The Job Description Questionnaire assesses

2. Robert House, Allen Filley, and Steven Kerr. "Relation of Leader Consideration and Initiating Structure to R & D Subordinates Satisfaction." Administrative Science Quarterly, 16 (March 1971): 19-31.



employees' satisfaction in several areas such as pay, opportunity for advancement, job security, overall job satisfaction, and freedom from rules or constraints which present obstacles to task completion. Low to moderate positive correlations were found between both instruments in all three kinds of work environments. Specifically, overall satisfaction with the company (branch of service) had a moderate positive correlation with the dimension of consideration. The correlations were .40, .37, and .42 for refinery workers, salesmen, and enlisted men, respectively. These correlations were significant at the .01 level of probability. Correlations of .36, .46, and .38 were also found between overall job satisfaction and initiating structure for the same three industries, respectively. These moderately positive correlations were also significant at the .01 level of probability.

Fleishman and Harris studied the relationship of initiating structure and consideration to two variables which they stated were indicators of group effectiveness, namely labor grievances and employee turnover 3. Fifty seven production foremen, in a truck manufacturing plant, and their work groups took part in this study. Grievances

3. Edwin Fleishman and Joseph Harris, "Patterns of Leadership Behavior Related to Employee Grievances and Turnover." Personnel Psychology, 15 (Spring 1962): 43-57.

were defined as written complaints, registered with the union, and put into company files. Turnover was defined as the number of employees who left the company for another job. Each employee rated their foremen using the LBDQ. Each foreman was ranked according to their score on each LBDQ scale. Each foreman would have two separate rankings, one on the initiating structure scale, and the other on the consideration scale. A moderate negative correlation of .51 was found between the grievance rate and consideration. That is, the lower a supervisor's rating on the consideration dimension, the more grievances were filed. The grievance rate was also found to be strongly positively related to the ranking of the foremen on initiating structure. A positive correlation of .71 was found indicating that the more initiating structure a foreman demonstrated the more grievances he would experience.

Concerning employee turnover, moderate to strong correlations of .69 and .63, were found between consideration and initiating structure, respectively. As was found previously when studying the grievance rate, employee turnover increased as consideration behavior decreased. Employee turnover also increased as initiating structure behavior of the foreman increased. One additional finding of this study was that the correlation between initiating structure and consideration, grievances and employee turnover rates was not linear. While increased considera-

tion behavior from the foreman generally resulted in lower grievance and turnover rates it was found that the foremen with the highest consideration scores did not have the lowest grievance rates. There appeared to be a saturation point where more consideration behavior did not result in additional decreases in grievances. This same trend was noted for initiating structure behavior, but in the opposite direction. A point is reached, in initiating structure, where a decrease in this kind of behavior does not result in any more decreases in grievances or turnover. The researchers concluded that effective production foremen do not have to rank the highest in consideration and lowest in initiating structure. Instead, effective production foremen are the ones who strike a balance between their consideration and initiating behavior to keep the work group together and working to complete their tasks.

The Leadership Behavior Description Questionnaire has also been used in a variety of studies in school settings. Just as in the industrial and military studies, the leaders' rating on the LBDQ was found to be related to other criteria of job success. Hemphill conducted a study of eighteen departments of a liberal arts college 4. The "Heads" of each department rated each other using the LBDQ. Each head also ranked the five departments which had the best and worst

4. John Hemphill, "Leadership Behavior Associated with the Administrative Reputation of College Departments," The Journal of Educational Psychology, 46 (November 1955): 385-401.

reputation for being effectively administered. A moderate positive correlation was found between the LBDQ rating and administrative ranking. The correlation between initiating structure and administrative ranking was .48, and .36 for consideration. Both findings were significant at the .05 level of probability.

Kunz and Hoy reasoned that one mark of leadership is the willingness of subordinates to accept the decisions made by their leader 5. To test this hypothesis, the researchers used the concept of the "zone of acceptance" as developed by Simon and investigated its relationship to the LBDQ 6. The zone of acceptance refers to the range of acceptability subordinates have regarding decisions made by their leader. Some decisions are clearly acceptable, some are clearly unacceptable, and some fall in a middle range. Decisions which fall in the clearly acceptable range deal with organizational matters such as turning in reports on time, maintaining school equipment, and taking attendance. Principal's decisions in the clearly unacceptable range deal with personal matters such as teachers' participation in voluntary organizations, contributions to charities, and accepting dinner invitations from parents. Principal's

5. Daniel Kunz and Wayne Hoy, "Principals and Professional Zone of Acceptance of Teachers," Educational Administration Quarterly, 12 (Fall 1976): 49-64.

6. Herbert Simon, Administrative Behavior, (New York: The Free Press, 1965) p. 133.

decisions which fall in the middle range deal with professional matters such as teaching strategies, parent conference skills, and classroom discipline techniques.

In this study, the researchers focused upon this middle area. To measure this professional zone of acceptance, they developed an instrument called the Professional Zone of Acceptance Inventory. This thirty item instrument requires teachers to indicate their willingness to accept decisions the principal might make which fall into the professional zone.

The researchers administered the LBDQ and Professional Zone of Acceptance Inventory (PZAI) to five hundred teachers in New Jersey. Using a series of t-tests, the researchers found statistically significant differences between the LBDQ and PZAI scores. The difference among the principals scoring highest to lowest on the LBDQ was significant at the .05 level of probability. The difference among the teachers scoring highest or lowest on the PZAI was also significant at the .05 level of probability. Thus, the group of principals which scored highest on the LBDQ also had faculties with the widest zone of professional acceptance.

Lastly, the researchers found the initiating structure and consideration dimensions of the LBDQ were positively correlated to the PZAI, .57 and .41, respectively. These moderately positive correlations are sig-

nificant at the .01 level of probability. Licata, Ellis, and Wilson did not present any research data but offered advice concerning effective ways to initiate structure within the teachers' professional domain 7. For best acceptance, the structure the principal intends to initiate should be low in hindrance, non-threatening, and consistent with the professional role demands established within the school.

Low in hindrance means that the structure should not add paperwork, additional duties, or before or after school meetings to the teachers' work load. Non-threatening means that the initiated structure be presented and allowed to develop in an open environment where the pros and cons can be honestly discussed.

Professional role consistency means that the initiated structure should be in keeping with the accepted ways of doing things within the classrooms and in the school. Something perceived as radical by the faculty will have less of a chance of being accepted and surviving than an idea, concept, rule or regulation generally perceived as being within the accepted patterns of school life.

7. Joseph Licata, Elmer Ellis, and Charles Wilson, "Initiating Structure for Educational Change," NASSP Bulletin, 61 (April 1977): 25-33.

Hoy, Tarter, and Forsyth investigated the relationship between leadership behavior and teachers' loyalty 8. The concept of loyalty is important because it can serve as the motivating force which compels subordinates to go beyond their job description and do those extra things to accomplish the task in an effective and efficient manner. Loyalty may also be one of the reasons teachers show a willingness to accept decisions made by the principal which fall into the professional zone.

In this study, three hundred twenty teachers were surveyed using the LBDQ and a Loyalty Inventory developed by the researchers. The Loyalty Inventory assessed three dimensions of loyalty: behavioral, affective, and cognitive. The behavioral dimension was assessed via questions concerning whether or not teachers would be willing to follow their principal if he was transferred to another building. The affective dimension was assessed via questions concerning the degree of teachers' satisfaction in working for their principal. Cognitive loyalty was assessed via questions concerning the degree of trust and confidence teachers would place in decisions made by the principal which ran counter to the interests of the faculty.

The results of the study demonstrated a high positive correlation of .85 between the consideration dimension of

8. Wayne Hoy, C.J. Tarter, and Patrick Forsyth, "Administrative Behavior and Subordinate Loyalty: n Empirical Assessment." The Journal of Educational Administration, 16 (May 1978): 29-38.

the LBDQ and loyalty scores. Initiating structure had a low, negative correlation with loyalty scores of .31. Both correlations were statistically significant at the .01 and .05 level of probability, respectively.

Madonia used the LBDQ to assess the leadership styles of school superintendents and their principals 9. In this study, the researcher investigated whether the leadership styles of superintendents and their principals were positively related, and if there was a positive relationship between the superintendent's level of satisfaction of a principal's job performance and the similarity of their leadership styles. To assess the superintendent's satisfaction with the job performance of their principals, the Survey of Management Practices was used. This instrument assesses one's job performance in organizing tasks, completing tasks, and interpersonal relations.

The findings of this study demonstrated that the leadership styles of superintendents and their principals, as determined by the LBDQ, were significantly similar, at the .05 level of probability. Also, when comparing principal and superintendent leadership styles, it was found

9. Robert Madonia, "An Analysis of the Relationship of the Superintendent Satisfaction with the Principal's Leadership Behavior and the Organizational Climate." Ed.D Dissertation, Loyola University of Chicago, May, 1983.

10. Ann Morrison, Morgan McCall, and David DeVries, Feedback to Managers: A Comprehensive Review of Twenty-Four Instruments, (Greensboro, North Carolina: Center for Creative Leadership, 1978).



that superintendents gave higher ratings to those principals who whose leadership style was similar to their own.

Hills examined the relationship of the principals rating on the LBDQ and the disposal and procurement function of principals 11. Disposal functions are those things principals do to establish a good reputation for the school and gain parental support. Procurement functions have to do with those things principals do to support teachers. Teacher support is demonstrated by obtaining materials and supplies, and by supporting them against parental complaints.

Questions assessing the procurement behavior of principals dealt with the ability to get what he asks for from his superiors, making the views of the group members known to his superiors, and influencing his superiors to change decisions that affect his work group unfavorably. Questions which assessed the disposal behavior of principals dealt with his ability to protect group members from outside criticism, satisfy parents demands without betraying any members of the work group, opposing outside demands being placed upon the work group even if it involves personal risk, and builds confidence among the parents in the school program. For this Hills organized procurement and disposal questions into an inventory with a Likert-like scale.

11. Jean Hills, "The Representative Function: Neglected Dimension of Leadership Behavior." Administrative Science Quarterly, 8 (June 1963): 83-101.

Strong, positive correlations of .76 and .84 were found between principals' ratings on the consideration scale of the LBDQ and the procurement and disposal variables, respectively. Moderately positive correlations of .72 and .67 were found between initiating structure, procurement and disposal, respectively.

#### INSTRUCTIONAL LEADERSHIP CLIMATE OF EFFECTIVE SCHOOLS

In this study, the instructional leadership correlate of effective schools is measured by the Leadership Scale of the Illinois Quality Schools Index. The items on this scale are representative of those characteristics gleaned from the effective schools research which indicated their importance to the establishment of a school climate which positively affects student achievement.

This section reviews the research concerning the importance of the instructional leadership climate.

The effective schools movement accelerated rapidly in the late seventies and continues its thrust today. Perhaps the major reason for the viability of the movement is its optimistic message that schools can make a difference in educating students regardless of the socio-economic status of the family. The effective schools model has three basic tenets:

1. By using standardized achievement tests, schools can be identified which are particularly effective in teaching basic skills to poor and minority children.
2. These successful schools tend to have characteristics which are correlated with their success and are within the realm of control by educators.
3. The characteristics of successful schools can be used to develop a model for improvement programs in unsuccessful schools 12.

Many studies of effective schools have described its characteristics and the list typically includes strong leadership, high expectations for student achievement, systematic monitoring of student progress, a safe and orderly environment conducive to learning, and protection of academic learning time 13, 14, 15.

12. William Bickel, "Effective Schools: Knowledge, Dissemination, Inquiry." Educational Researcher, 12 (April 1983): p. 6.

13. "Building Effective Schools-Here's How," National Assessment of Educational Progress Newsletter, ( Fall 1982), p. 6.

14. "Effective Schooling: Applying Research for School Improvement," Northwest Regional Educational Laboratory, 1983.

15. James Back and Eula Monroe, "The Effective Schools Concept: An Effective Way to Help Schools Make a Difference," Educational Leadership, 4 (Spring 1985): 232-235.

Strong leadership by the principal has the effect of creating a strong leadership climate in effective schools. The leadership climate within effective schools has been described by Austin as a critical mass 16. Critical mass describes the combination of positive factors that come together to develop a school climate that has a positive affect on learning. Within the critical mass, some specific characteristics are noted. Specifically, the schools are being run and managed for a reason and are goal oriented. Ineffective schools, without critical mass, seem to operate out of habit. They were without a focused curriculum, did not have high expectations for student achievement, or shared learning expectations among the faculty.

Positive ethos is another concept which is used to describe the special school climate which exists in effective schools 17. Positive ethos depends on leadership which is strong, enthusiastically engages the faculty, and establishes a set of school mores. Establishing school mores is a significant step in effective schooling as it requires the school's faculty to develop norms, institutionalize behavior patterns, and establish sanctions. The deeper meaning of positive ethos is that a faculty has

16. Gilbert Austin, "Exemplary Schools and the Search for Effectiveness." Educational Leadership, 37 (October 1979): 10-12.

17. Rutter et al., Fifteen Thousand Hours, p. 60.

somehow reached a consensus about what will be taught, how students will behave, how well students will learn what is taught, and the degree to which the faculty and administration will work together to accomplish these goals. Positive ethos does not leave these decisions to be made by the community or by prejudicial attitudes concerning the learning capabilities of minority children. Positive ethos has a positive effect on students' achievement.

James Coleman also noted the importance of certain school characteristics for student learning. He stated,

"Finally, it appears that a pupil's achievement is strongly related to the educational backgrounds and aspirations of the other students in the school. Only crude measures of these variables were used (principally the proportion of pupils with encyclopedias in the home and the proportion planning to go to college). Analysis indicates, however, that children from a given family background, when put in schools of different social composition, will achieve at quite different levels. This effect is again less for white pupils than for any minority group other than Orientals. Thus, if a white pupil from a home that is strongly and effectively supportive of education is put in a school where most pupils do not come from such homes, his achievement will be little different than if he were put in a school composed of others like himself. But if a minority pupil from a home without much educational strength is put with schoolmates with strong educational backgrounds, his achievement is likely to increase 18."

While this report does not analyze the climate of the school to the same depth as the previous studies, it is noteworthy that Coleman observed that schools could make a difference in the academic attainment of students.

Brookover and his colleagues studied the school climate in several public elementary schools in Michigan 19. They defined school climate as a set of variables perceived and accepted by the group. These variables become the norms of the social system and compliance becomes expected. The researchers believe that the climate of a school develops apart from the characteristics of the students, and that differences in schools' climate have a positive or negative effect upon the achievement of its students. To test their hypothesis, data concerning students' race and parents' socio-economic status was collected from one hundred and fifty nine schools. Achievement test results were gathered on all fourth grade students. The findings demonstrated that more than half of the difference between the mean achievement scores of the schools was attributed to the combination of SES, race, and school climate. Through additional statistical analysis, the researchers computed the percentage that each of these three variables contributed to the total amount of difference among the schools' mean achievement scores. They found that the school climate variable accounted for more of the variance in mean achievement scores than race or SES, when they were controlled. That is, when the schools in this study were

19. Wilbur Brookover et al., "Elementary School Social Climate and School Achievement," American Educational Research Journal, 15 (Spring 1978): 301-318.

grouped by race and SES the variable that accounted for differences in the mean achievement scores was the climate of the school.

Deal and Kennedy linked the concepts of climate, ethos and culture 20. All three concepts share the characteristics of common values and beliefs, rituals, and ceremonies. School climates or cultures which foster academic growth do so because everyone understands what is expected of them and how their actions are related to the school's overall goals. A strong cohesive culture works to everyone's advantage. Students know they are expected to learn, teachers expected to teach, and parents know what to expect from the school. A strong culture results in more effective instruction because everyone is pulling together in the same direction.

Firestone and Wilson said that the culture of the school is central to effective instruction 21. The school culture delineated the tasks of the school by providing answers to critical instructional questions. These questions dealt with the establishment of expected levels of student achievement, how much of the official curriculum must be taught, and disciplinary standards for the students.

20. Terrence Deal and Allan Kennedy, "Culture and School Performance" Educational Leadership, 40 ( February 1983): 14-16.

21. William Firestone and Bruce Wilson, "Culture of School Is a Key to More Effective Instruction," NASSP Bulletin, 34 (December 1984): 7-11.

Sergiovanni constructed a model which he named the Leadership Forces Hierarchy 22. This model is conceived as a pyramid in form and made up of different strata. The strata are representative of different leadership forces such as technical, human, educational, symbolic, and cultural. Sergiovanni states that technical leadership forces are important to competent management but are generic in nature and do not lead to a unique school climate or culture. Cultural leadership forces develop a unique school environment which operates as constructed reality for all who work in, or attend, the school. The constructed reality includes values, symbols, and shared expectations and beliefs. These "things" help to keep everyone working toward commonly held goals concerning the students' educational experiences.

Philip Hallinger et al., stated a school's climate has a positive effect upon student achievement 23. A school climate which positively effects students' learning has high expectations for student achievement and behavior, protects teachers' instructional time, provides incentives for and encourages staff development, and has policies and procedures which are known, understood, and generally

22. Thomas Sergiovanni, "Leadership and Excellence in Schooling," Educational Leadership, 41 (February 1984): 4-13.

23. Philip Hallinger, Joseph Murphy, Marsha Weil, Richard Meas, and Alexis Mitman, "School Effectiveness: Identifying the Specific Practices, Behaviors for Principals," NASSP Bulletin, 67 (May 1983): 81-91.



accepted by the students, teachers and parents. In another article, Murphy and Weil, et al., elaborated upon the variables related to the climate of effective schools 24. Their framework of climate includes three variables: norms concerning high expectations for student learning and faculty performance, collegiality between the administration and faculty characterized by trust and open communications, and an instructional focus which limits discipline problems and provides incentives for academic excellence.

Using a horticultural metaphor, the growth and nurturing of a school climate conducive to instructional effectiveness is detailed by Saphier and King 25. The specific nutrients include collegiality, experimentation, high expectations, trust and confidence, tangible support, knowledge rather than intuitive decision making, appreciation and recognition, caring and humor, protection of academic time, traditions, and honest open communication.

24. Joseph Murphy, Marsha Weil, Philip Hallinger, and Alexis Mitman, "School Effectiveness: A Conceptual Framework," The Educational Forum, 49 (Spring 1985): 361-369.

25. John Saphier and Matthew King, "Good Seeds Grow in Strong Cultures," Educational Leadership, 42 (March 1985): 67-75.

## PUPIL CONTROL BEHAVIOR

There can be little doubt that one of the major tasks faced by schools is the monitoring and control of pupil behavior. The effect that schools have on student behavior is important and how students behave is one of the significant correlates of the effective schools studies 26.

A way to conceptualize schools' orientation toward controlling and monitoring students' behavior is via the custodial/humanistic typology. Schools that tend toward the custodial approach of controlling student behavior are characterized as primarily being concerned with maintaining order. Students are perceived as being irresponsible, untrustworthy, and uncooperative 27. Schools that tend toward the humanistic approach are characterized as primarily being concerned with developing self-discipline. Students are perceived as being capable and responsible and, when treated with respect, will behave cooperatively 28.

A case study by Willower and Jones illustrates quite vividly a school where the custodial theme of pupil control

26. Stewart Purkey and Marshall Smith, "Too Soon to Cheer? Synthesis of Research of Effective Schools," Educational Leadership, 40 (December 1982): 64-69.

27. Willower, School and Pupil Ideology.

28. Ibid.

has been institutionalized 29. In this school the veteran faculty members emphasized pupil control via discipline techniques. They openly voiced their approval of strong disciplinary tactics and viewed the younger and newer teachers as being lax and failing to maintain classroom discipline or proper social distance between the students and themselves. Younger teachers, seeking professional recognition from the veteran teachers, often boasted of their tough and rigid standards in the faculty lounge. When new teachers were assigned to the school, they had to "win their spurs" by demonstrating tough disciplinary tactics to the rest of the faculty. The researchers reported that they thought the custodial theme of this school was best illustrated by the single roll of toilet paper found in the boys bathroom it was chained and padlocked to a post. Willower explained that a custodial orientation usually has immediate but short term gains 30. It may ultimately be self defeating by suppressing the newer teacher's enthusiastic spirit, creativity, and willingness to be innovative. Thus, a custodially oriented school can become fixated upon maintaining the status quo and students and teachers alike become entrenched in their adversarial roles.

29. Donald Willower and Robert Jones, "When Pupil Control Becomes an Institutional Theme." Phi Delta Kappan, 43 (November 1963): 107-109.

30. Ibid.

In this dissertation, students' perceptions of the principal's control behavior them was assessed by means of the Pupil Control Behavior Form. The PCB classifies principal's behavior along the custodial and humanistic dimensions. However, unlike the case study described by Willower and Jones, this study compares the leadership behavior of the principal, the instructional leadership climate of the school, and his pupil control behavior orientation 31. A review of the literature, however, revealed that there have been no previous studies which related principal's pupil control behavior style to the variables of leadership behavior and instructional climate. This review, therefore, is limited to studies which give further understanding to the custodial and humanistic dimensions of pupil control behavior.

Originally, an instrument known as the Pupil Control Ideology Form (PCI) was developed to measure the pupil control attitudes of teachers and principals. Attitudes were measured on a scale which ranged from humanistic to custodial 32. Based upon the work done with the Pupil Control Ideology Form, a modified version called the Pupil Control Behavior Form (PCB) was developed by Helsel and Willower 33. This instrument defines the behavior of

31. Ibid.

32. Willower, The School and Pupil Control Ideology.

33. Helsel and Willower, "Toward Definition and Measurement."

teachers or principals on the same custodial/humanistic continuum and is positively correlated to the Pupil Control Ideology Form 34.

Lunenburg, in his review of the research on the P.C.I. and P.C.B., noted that the humanistic/custodial construct is very useful in describing the relationship between a principal and his students and presents a broad view of a school's climate 35. He also found that a custodial orientation was often associated with a negative classroom or school climate.

Several studies using the PCB investigated the topic of school robustness. School robustness is a condition opposite to school boredom. A school which is characterized as robust has an element of tension and conflict but is also fresh, invigorating, challenging and dynamic.

The first study assessing the pupil control behavior of school principals was conducted by Smedley and Willower 36. This study also served as the validating study for using the PCB on school principals. The researchers thought that an investigation of principal's pupil control behavior was important as they represent the formal authority of a school

34. Ibid.

35. Frederick Lunenburg, "Pupil Control Ideology/Behavior: School Climate Measures." Education, 105 (Spring 1985): 294-299.

36. Stanley Smedley and Donald Willower, "Principals' Pupil Control Behavior and School Robustness," Educational Administration Quarterly, 17 (Fall 1981): 40-56. .

and thus would have a direct affect upon students' behavior and school robustness. Principals of twenty three elementary schools were rated by their students. Students rated their principal's control behavior using the PCB. School robustness was measured by the Robustness Semantic Differential Scale. This scale consists of ten pairs of adjectives which would be descriptive of the degree of school robustness; "boring interesting" for example 37. Using the Pearson correlation coefficient method, the researchers found a correlation of .51 between the PCB and RSD. This indicated that low scores on the PCB (indicating a humanistic style of control behavior) were associated with high levels of school robustness. This correlation was significant at the .01 level of probability. This finding confirmed the researchers' hypothesis that principal's humanistic control behavior would be positively associated with more robust school climates. Principals with a humanistic style of pupil control behavior have schools which the students perceive as being more interesting, challenging, and exciting than students in schools whose principal behaves in custodial ways.

Multhauf, Willower, and Licata conducted a study where classroom environmental robustness and teachers'

pupil control behavior was investigated 38. The Robustness Semantic Differential Scale (RSD) was used to assess the degree of classroom environmental robustness. Students rated their classrooms along a seven point response scale for each adjective pair of the RSD. The higher the score, the greater the level of classroom robustness.

Students also completed the Pupil Control Behavior Form which measured their perceptions concerning the pupil control style of their teachers. The total sample involved thirty three teachers and eight hundred students in grades four, five and six.

Using the Pearson Product Moment correlation coefficient technique, the correlation between the Robustness Semantic Differential Scale and the Pupil Control Behavior Form was  $-.49$ . This meant that increased classroom robustness was associated with teachers' humanistic control style. This correlation coefficient was statistically significant at the  $.01$  level of probability. The finding of this study is related to the finding of the previous study done by Smedley and Willower which found increased school robustness was associated with the principal's humanistic style of pupil control 39.

38. Arleen Multhauf, Donald Willower, and Joseph Licata, "Teacher Pupil Control Ideology and Behavior and Classroom Environmental Robustness," The Elementary School Journal, 79 (September 1978): 40-47.

39. Smedly and Willower, "Principal's Control Behavior."

Brown and Licata also did a study concerning the pupil control behavior style of classroom teachers and student robustness 40. This study encompassed two hundred sixteen fourth, fifth and sixth grade students who attended an elementary school. Each of the students filled out the Robustness Semantic Differential Test (RSD) and the Pupil Control Behavior (PCB) form. The correlation between these two instruments was  $-.21$ . This negative correlation indicates that there is an inverse relationship between school robustness and the teachers' pupil control behavior style. In terms of the two instruments used in this study, higher scores on the RSD are associated with lower scores on the PCB. Higher RSD scores indicate greater degrees of school robustness, whereas lower PCB scores indicate more of a humanistic style of pupil control behavior. Thus, once again school robustness seems to be mildly to moderately related to principals' or teachers' humanistic style of pupil control behavior.

Helsel investigated the relationship between teachers' pupil control behavior and their level of of close mindedness or dogmatism 41. A dogmatic, or closed minded, individual is one who does not perceive

40. Ralph Brown and Joseph Licata, "Pupil Control Behavior, Student Brinkmanship and Environmental Robustness," Planning and Change, 9 (Winter 1978): 198-201.

41. Ray Helsel, "Personality and Pupil Control Behavior," Journal of Educational Administration, 14 (May 1976): 79-85.



information objectively. Such an individual makes decisions and responses based upon irrelevant factors which are subjective and personal in nature. Helsel hypothesized that dogmatic teachers would respond to pupil control issues in a custodial style.

To assess dogmatism, the Short Form Dogmatism Scale was administered to intermediate grade students in fourteen elementary schools in Illinois. On this scale, higher scores are indicative of higher levels of dogmatic or closed minded behavior.

The Pupil Control Behavior Form was also administered to the students to assess their perceptions of their teachers' pupil control behavior style. A low, positive correlation of .12 was found between teachers' dogmatism and a custodial style of pupil control behavior. This correlation coefficient was significant at the .05 level of probability.

The relationship of the teachers' pupil control behavior style has been found to be related to environmental robustness and dogmatism. Specifically, as teachers become more custodial in their pupil control behavior, their decision making may be more closed minded and irrational.

Their classrooms also tended to be less exciting and challenging but more rigid and dull.

These research studies in classrooms and on teachers and principals give some additional insights into related

dimension of humanistic and custodial control behavior. Studies do not exist concerning the relationship of the principal's pupil control behavior, robustness, and dogmatism, other than the one study done by Smedley and Willower 42. On an intuitive level, however, it would appear that the relationships found among teachers' custodial behavior, environmental robustness, and dogmatism would be similar for school principals. Thus principals oriented toward custodial methods of controlling student behavior would tend to have school climates lacking in environmental robustness. These principals would also tend to be more dogmatic and closed minded in their decision making.

This intuitive line of reasoning is consistent with this study's hypotheses. Specifically, principals who demonstrate more frequent leadership behavior, would have greater congruence concerning the instructional leadership climate of their schools, and be more humanistic in their pupil control behavior than principals who demonstrate less frequent leadership behavior. It seems contrary to reason that principals who are closed minded and dogmatic, and primarily concerned with maintaining discipline and order, would be high in the consideration dimension of leadership behavior, and able to develop faculty consensus over instructional leadership characteristics.

42. Smedley and Willower, "Principals Pupil Control Behavior."

Blust and Willower conducted a study which comes close to this rationale that a principal's pupil control style may set the tone for pupil control behavior in their building 43. This study assessed the effect organizational pressures may have upon classroom teachers' pupil control behavior. Organizational pressure was defined as the perceived pupil control ideology of the building principal and colleagues. How a teacher perceives the principal's pupil control ideology is important because the he represents formal authority in the school. How a teacher perceives the pupil control ideology of his colleagues is also important because this represents informal authority and social pressure. Both levels of perception may have a significant effect upon a teacher's pupil control behavior.

In this study, ninety five teachers, 2,152 students, and four high school principals were administered the Pupil Control Behavior Form (PCB) and the Pupil Control Ideology Form (PCI). The Pupil Control Ideology Form is a twenty item instrument which assesses an educator's viewpoint or opinion regarding pupil control. Like the Pupil Control Behavior Form, the Pupil Control Ideology Form measures educator's viewpoints along a humanistic custodial continuum.

43. Ross Blust and Donald Willower, "Organizational Pressure, Personal Ideology, and Teacher Pupil Control Behavior," The Journal of Educational Administration, 17 (May 1979): 68-73.

Each teacher filled out a Pupil Control Ideology Form to assess his own viewpoints on pupil control. Each teacher also filled out a Pupil Control Ideology Form concerning what he perceived to be the ideology of his "typical" colleague. Each teacher also filled out a Pupil Control Ideology Form concerning what he perceived to be the ideology of his principal. Finally, the students in each class filled out a Pupil Control Behavior Form concerning what they perceived to be their teacher's style of controlling pupil behavior.

The teachers' PCI mean score was 56.8. The principal's mean perceived PCI score was 64.5. The "typical" colleague's perceived PCI mean score was 70.8. The mean PCB for each classroom teacher was 48.4. The differences between the means of the first three measures were statistically significant at the .01, .01, and .05 level of probability, respectively.

The researchers found that the teachers' PCB scores were much closer to their own PCI scores and concluded that within their classroom, teachers' pupil control behavior was based upon their own viewpoints rather than upon organizational pressures. It also seemed that teachers attribute more custodial viewpoints to their colleagues and principal than is the case. By finding that teachers behaved less custodially within their classrooms but attributed more custodial attitudes toward their colleagues

and principal, the researchers concluded that organizational pressures effect teachers' public (in the hallway, for example) pupil control behavior, but not their private (in the classroom) behavior.

An intriguing question concerning this issue of pupil control behavior is whether or not it is related to the socio-economic status of the student. This question is important to this dissertation as one of its hypotheses is that the four principals who score lowest on the LBDQ would be less humanistic, or more custodial in their pupil control behavior. If these bottom four schools enroll students from lower socio-economic areas, the finding that principals may be more custodial in their pupil control style with students from lower income families is important to note. However, once again, there are no studies which have examined this question of whether the principal's pupil control behavior is related to the demographic characteristics of the students.

Brown and Grover conducted a related study which addressed the related question concerning the teacher's pupil control behavior and student socio-economic status 44. The researchers predicted that teachers in low SES schools would be more custodial in their pupil control behavior than

44. Lorraine Brown and William Grover, "School Socio-economic Status in Teacher Pupil Control Behavior," Urban Education, 13 (April 1978): 71-83.

teachers in middle SES schools. To measure socio-economic status, the Hollingshead One Factor Index of Social Position was used 45. This approach utilizes occupation as the sole basis for SES classification. Data was collected from sixteen secondary schools located in one city. Schools were rated as serving a low SES student body because of its eligibility for federal poverty funds. Half of the low SES schools were predominately black; the other half predominately white. Of the middle SES schools, again half were predominately black, and the other half white. A total of 1,339 students in all of the schools filled out PCB Forms on their teachers. The PCB mean for the low SES black schools was 47.3; for the low SES white schools it was 49.7. The PCB mean for the middle SES black schools was 46.3; for the middle SES white schools it was 48.0. The researchers did not find any statistical differences between any of these mean scores and so their hypothesis was not accepted. Thus, the only available study which addressed the question of student SES and pupil control behavior style did not find any relationship.

45. A.B. Hollingshead, "Commentary on the Indiscriminate State of Social Class Measurement," Social Forces, (June, 1949).

## SUMMARY OF THE REVIEW OF RELATED LITERATURE

This chapter reviewed the literature on the Leadership Behavior Description Questionnaire, the instructional leadership climate in schools as a correlate to the effective schools studies, and the issues concerning principals' or teachers' pupil control behavior. The literature on the Leadership Behavior Description Questionnaire indicated that leaders who scored highest on initiating structure and consideration also rated highest on independent measures of their leadership ability as perceived by superiors or subordinates. The effective schools literature showed that the instructional leadership climate in schools is an important correlate for school improvement. The related literature on pupil control behavior was limited as it basically centered on the related concepts of school robustness, dogmatism and student SES. It is clear, however, that the leadership behavior of the principal, the instructional leadership climate within a school, and how the principal controls student behavior are three central elements of school life and their interplay has not previously been examined.

## CHAPTER III

### PRESENTATION AND ANALYSIS OF DATA

#### INTRODUCTION

Six hypotheses are presented in this chapter. Each one is discussed separately. The analysis of data and interpretation of each hypothesis is also presented. Hypotheses I, II, III, and IV are considered as major because they establish the parameters among the three dimensions examined in this study: the principal's leadership behavior, the instructional leadership climate of his school, and his pupil control behavior style. Thus, the interpretation of these four hypotheses receives considerable attention.

Hypotheses V and VI are considered minor because they deal with the incremental relationships between the variables of leadership behavior, instructional climate, and pupil control style. That is, these hypotheses ask whether an increase in one dimension produces a corresponding increase in another. These two hypotheses investigate interesting questions but not ones that are necessary to



this dissertation. Thus, only a brief interpretation of the data is provided.

## TESTING AND HYPOTHESES

### HYPOTHESIS ONE

Hypothesis one is: "There is a significant difference between the means of the four highest and lowest scoring principals, on the Leadership Behavior Description Questionnaire."

A t-test was performed to assess this hypothesis, and Table One presents the data.

Table One

#### T-Test on the LBDQ

GROUP	NUMBER	MEAN	SIGMA
TOP	93.00	43.61	5.37
BOTTOM	73.00	37.34	7.69

T=6.168    DF=164    P=.0000

The resultant t-test statistic of 6.168 is significant at the .01 level of probability. This result indicates there is a statistically significant difference between the means of the top and bottom groups of principals as identified by the Leadership Behavior Description Questionnaire. Thus, hypothesis one is not rejected.

Not rejecting this hypothesis indicates that the Leadership Behavior Description Questionnaire can differentiate principals in terms of the degree to which they exhibit behavior within the dimensions of initiating structure and consideration. The four principals identified in the top group do engage in significantly more frequent initiating structure and consideration behavior than the bottom four principals. This finding is significant because leadership is important and is an issue which has been placed "under a microscope" in contemporary educational literature 1. Jerome Murphy, recently appointed associate dean of the Graduate School of Education of Harvard University, made a career change from his previous position of researcher to administrator. In his new position as associate dean, Dr. Murphy discovered some things about leadership which appear to resemble initiating structure and consideration behavior quite strongly 2. Additionally, Murphy comments upon today's popular image of leadership an image that Halpin disdained. The popular image of leaders is:

"They believe in hands on management. They want to confront people directly, touch them, challenge them, and motivate them through the sheer force of personality . . . They are missionaries. Their stories take on an evangelical tone because these men have been inspired. They have found meaning and value

1. Jerome Murphy, "The Unheroic Side of Leadership: Notes From the Swamp," Phi Delta Kappan, 69 (May 1988): 654-659.

2. Ibid.

in the services they provide. They manage their enterprises by ensuring that employees share those same meanings and values . . . . The evangelical message is that with enough guts, tenacity, and charisma you too gentle reader can be a great manager . . . .3"

Murphy refers to this image of leadership as heroic, the leader as lion. Halpin denigrated this notion of leadership as it implied that leadership is like a character trait embedded within a strong willed personality 4.

The problem with the notion that leadership is a character trait is that training becomes de emphasized and personnel administrators begin to look for administrators or managers with the right personality the "lion quality.5"

Murphy indicates that, at best, the image of the leader as lion may only be a half truth, and a broader perspective of leadership must include the unheroic side too. When Murphy discusses the heroic and unheroic side of leadership he seems to reconstruct Halpin's dimensions of initiating structure and consideration. Murphy's six dimensions of leadership are:

"developing a shared vision (as well as defining a personal vision), asking questions (as well as having answers), coping with weakness (as well as displaying strength), listening (as well as talking), depending on others (as well as exercising power) and letting go (as well as taking charge) 6."

3. Ibid., p. 654.

4. Halpin, Theory and Research in Education, p. 40.

5. Ibid.

6. Murphy, "Notes from the Swamp," p. 655.

While the words are different, each set of leadership dimensions has a component which could, without too much extrapolation, be labeled as a characteristic of initiating structure and consideration. As Murphy first described the popular image of "leaders as lions," he alludes to the other dimension as being lamb like. Thus, in the six dimensions of leadership the lamb like quality (consideration) is presented first and the lion like quality (initiating structure) follows within the parenthesis. Murphy discusses the pros and cons of leaders being all lion, or all lamb and concludes that behaving like a lion makes leaders feel powerful and like they are "in charge." However, leadership behavior which only deals from strength may be found wanting for lack of followers. The leader who "knows it all" is perceived by his subordinates as unwilling to listen to them and not concerned with any ideas they may have regarding improving organizational efficiency. Leaders who insist upon behaving as lions act in autocratic ways. They excel as policy enforcers and rule givers. They are able to have their subordinates complete their tasks, but on the other hand, since there is an emphasis on rules and procedures, the workers perform "by the book." This kind of relationship between the leader and his work group would satisfy the organizations demand for effectiveness, or getting the job done, according to Halpin. Leadership is more than appropriate rule administration, however. Getting

people to do what they must do to keep their jobs, avoid negative sanctions, and not being eaten alive (to continue the leaders as lions metaphor) creates a survival mentality in the work group. Members of the work group will do what they have to do in order to survive, but no more.

In order to create a work environment where the subordinates complete their tasks thoughtfully rather than rigidly, Murphy indicates the lamb like qualities become important. These qualities, the unheroic side of leadership, actually give the leader power because the work group becomes effective and efficient. Tasks are no longer completed just "by the book," but by individual creativity and thoughtfulness when the "book" is found to be wrong or does not provide direction for spontaneous and unique problems.

In other words, if the lamb and lion dimensions were somehow measured, it would seem that Murphy would find that the most effective and efficient leaders would be high in both dimensions. Again, the parallel between Murphy's comments and the work done by Halpin demonstrates a striking resemblance. Initiating structure and consideration as important components of leadership seems to be alive and well.

The themes of efficiency and effectiveness, concern for the task and for people, initiating structure and consideration are also apparent in the work and findings of

Richard Andrews 7. Ronald Brandt, editor of *Educational Leadership*, the Journal of the Association for Supervision and Curriculum Development, interviewed Dr. Andrews whose work was the focus of September, 1987, journal.

Andrews researched the effect principals have upon student learning. To do this he categorized principals' behavior into four domains. The domains were developed from an exhaustive review of the effective schools literature. When Andrews analyzed the data concerning the behavior of principals who had a positive effect upon student learning it is easy to hear the themes of initiating structure and consideration coming through. Andrews said:

"The leaders we're talking about know how to empower people and yell, 'Charge.' They are both generals and shepherders. The ones I call shepherders collect around them a group of people that is in some ways like a shepherd and his dogs . . . its not a perfect metaphor but there's a team that works closely together that guides the rest of the staff. In my analogy, the dogs do much of the work of keeping the whole group together and moving in the same direction, but the shepherd is crucial to the process. The principal has to be the keeper of the dream and shepherd, if you will, the direction 8."

Thus it seems that within Andrews' research and subsequent development of a profile which enables teachers to rate the frequency of their principal's behavior, Halpin's "g factor" of administration, which encompasses the

7. Ronald Brandt, "On Leadership and Student Achievement: A Conversation with Richard Andrews," Educational Leadership, 45 (September 1987): 9-16.

8. Ibid., p. 13.

dimensions of initiating structure and consideration, is still apparent.

Andrews' description of leaders as being generals or shepherders is not unlike Murphy's heroic and unheroic concepts. Andrews and Murphy found that the best leaders were those who were bi-dimensional. These leaders paid attention to the task and the needs of their people. These leaders were able to develop a working relationship where people cared about the quality of their work. When leaders behave heroically and unheroically, or as generals and shepherders, the dimensions of initiating structure and consideration are very visible beneath the rhetoric. It also becomes apparent that when Andrews or Murphy describe the results of superior leadership, the themes of effectiveness and efficiency come back. Getting the job done can be accomplished via leadership which focuses upon the task. The heroic side of leadership, or leaders-as-generals is appropriate for accomplishing the mission. Getting the people within the work group to care about their work, to be concerned as to how their work is integral to the mission of the organization, and willingly accept suggestions to improve the quality of their work addresses the issue of efficiency. Efficiency within the work group is achieved when leaders pay attention to the heroic and unheroic, general and shepherd side of leadership.

Thus, the work of Andrew Halpin and the leader behavior dimensions of initiating structure and consideration are still relevant and important to principals.

Stating that Halpin and his work is still relevant today has additional ramifications. When reading textbooks on leadership the work of Halpin and others are usually afforded a separate and distinct section under the heading of the Ohio State Leadership Studies. Much of Halpin's work in the 1950's and 60's is cited to give the reader a good foundation regarding this body of research.

Contemporary works on leadership however, seem to stress other dimensions, such as the symbolic, cultural or transformational. These dimensions of leadership do not speak about such things as initiating structure and consideration. The whole picture of leadership that one may develop based upon readings of current text and trade books is that Halpin's work only has historical significance. This dissertation has demonstrated that Halpin's work is not only historical but still relevant today. This is evidenced by the fact that in this dissertation, teachers could still use the LBDQ which was developed in 1957, to rate their principal along the dimensions of initiating structure and consideration. The teachers' rating were so discriminating that two different groups of principals could be identified which were statistically different from each other. The real relevancy of Halpin's work however, lies in the



initial premise which Halpin and his colleagues espoused concerning leadership behavior. Halpin and other researchers maintained that initiation structure and consideration are basic components of leadership behavior. Furthermore, the best leaders demonstrated high rates of initiating structure and consideration behavior. To validate this point Halpin looked for external or other indicators of successful leadership which tended to be associated with high rates of leadership behavior as measured by the LBDQ. Thus, there were several research articles, presented in the review of related literature section, where leaders who scored highest on the LBDQ also had the highest combat efficiency ratings, best reputation amongst college departments, lowest employee turnover rates and grievances, most teacher loyalty, and widest professional zone of acceptance.

This dissertation follows in the same tradition as the research done by Halpin and his colleagues. That is, in this dissertation it was hypothesized that external indicators of successful leadership would be present with high rates of initiating structure and consideration behavior but not present with low rates of leadership behavior. Specifically, principals who significantly differed in the degree to which they demonstrated initiating structure and consideration behavior would also differ with regard to external measures of success. In these times of

educational reform, one of the external measures of successful leadership which has been emphasized, is the instructional leadership climate. Like the studies cited in chapter two, this dissertation found that this external measure of success was statistically different for principals who demonstrated a great deal of initiating structure and consideration behavior as compared to those principals who did not. The other external measure of successful leadership behavior was the pupil control behavior style of the principal. Again, a statistically significant difference was found between the principals who scored in the top or bottom group as per the LBDQ.

Analyzing the data from this study concerning the principal's leadership behavior, instructional leadership climate, and pupil control behavior, brings into focus another issue originally raised by Halpin. Halpin's approach in studying leadership was different from earlier studies because he focused on behavioral descriptions of leadership and denied of the trait theory of leadership. While some may greet the statement about the denial of the trait theory of leadership with a yawn and feel that the issue is a dead horse - they are wrong. Some of the studies cited in this dissertation referred to leaders as possessing lion or lamb, general or shepherd characteristics. It also seems that anyone who has heard of Iacocca knows about charisma. These labels obscure the nature of

leadership and shift attention from what leaders do to personality traits. Halpin disdained the cult of leadership personality for two basic reasons. First, earlier work by other researchers demonstrated that leadership was not reliability associated with any one or combination of personality traits. Secondly, training programs cannot change or develop personality traits as that is the domain of therapy not training. Halpin focused upon leadership behavior because it is observable, measurable, objective, and trainable. Halpin believed in developing a science of administration which would be built upon those leadership behaviors which were best able to meet the dual leadership demands of developing and maintaining group effectiveness and efficiency. This dissertation supports Halpin's belief concerning defining leadership via demonstrated behavior. This dissertation does not describe or invest the top group of principals with any special power or aura. They were not described as generals or lions, as having an overabundance of charisma, striving for cultural leadership, or empowering others. It was the degree of demonstrated behavior within the dimensions of initiating structure and consideration which differentiated one group of principals from the other ... nothing more. Nevertheless, this differentiation was sufficient to further delineate the same group of principals among the dimensions of instructional leadership climate, and pupil control behavior. Again, these last two dimen-

sions were also assessed based upon the principal's observable behavior, not the possession of some special personal qualities.

Although this study helps to refocus the importance of leadership behavior and get back to leadership basics, higher levels of leadership are possible. Work environments where there is such cohesion and esprit that a special culture develops with its own norms, symbols, and ways of doing things, are possible. However, to reach this higher plane, basic forms of leadership must exist. Leadership basics are represented by the dimensions of leadership Halpin conceptualized as initiating structure and consideration. When these dimensions of leadership behavior are in place, organizational effectiveness and efficiency are obtained. As organizational effectiveness and efficiency are established and maintained, they come to be institutionalized through particular signs and symbols which are unique to the work group. The work group develops its own way of doing things. The leader is looked upon as the one who keeps the esprit of the work group alive, and helps maintain the synergetic working relationship between the work group and himself.

Thus, Halpin's theory of leadership behavior which encompasses the dimensions of initiating structure and consideration is important because it represents a basic tenet of leadership. Leadership which demonstrates high

rates of initiating structure and consideration behavior lays the foundation for organizational effectiveness and efficiency and the higher "art forms" of leadership.

Analyzing leadership behavior from another perspective, Sarason studied the ability of a school to adapt itself to controversy and change<sup>9</sup>. The question of how a school deals with controversy and change is important because the tenor of all of the literature concerning school effectiveness and educational reform requires confronting issues and instituting change<sup>10</sup>. Sarason found that the ability of a principal to deal effectively with change was dependent upon his "locus of control." Sarason indicated that a principal's locus of control is the product of ideas and values which influence how he perceives issues within the school system. A principal's perception of the issues influence his behavior within the school. The relationship between perception and behavior is a complex one and probably each influence the other. However, perception is "social reality" which can be purposefully manipulated. A principal can exert leadership behavior which in turn shapes his perception of the school system, which in turn affects his locus of control, which influences how well he

9. Seymour Sarason, The Culture of the School and the Problem of Change, (Boston: Allyn and Bacon, 1982) p. 1-2.

10. Ibid., p. 1-3.

can help the school adapt to educational changes. A principal who regularly demonstrates high rates of initiating structure and consideration behavior causes change within his school. Change and initiating structure are not quite synonymous terms but there is a significant degree of overlap between them. When a principal initiates structure by defining the school's tasks, outlines specific responsibilities of teachers, introduces a new instructional program, or enforces procedures which were previously ignored, changes are taking place. How changes are accepted is dependent upon several factors, but among them would be the degree of loyalty, trust, and confidence the faculty has in the principal. These values are developed gradually between a principal and faculty and are strongly influenced by his consideration behavior. When a principal takes the time to build a positive working relationship between himself and the faculty by carefully engaging in initiating structure and consideration behavior, the faculty becomes used to change, and comes to think of it as their principal's *modus operandi*. Becoming use to change does not mean to imply that the faculty becomes docile and passive and quietly accepts every new idea or procedure the principal wants to initiate. It does mean, however, that because trust, loyalty, and confidence have been established the faculty will not hesitate to discuss the ways and means

of change and, as a result of one or several conferences, the proposed change becomes accepted, modified, or withdrawn. Such a give and take climate is really the heart of organizational effectiveness and efficiency. People need to feel they are important and their opinions are valued. Leadership behavior characterized by initiating structure and consideration develops a work environment where the principal and teachers talk about things that can be done to improve the school, whether these improvements are in the instructional or management domain. Over the long term, teachers and principals come to know how to manage each other to make proposed changes work. The principal develops a sense of how far and fast he can "push" and perhaps purposefully plans an activity or two which clearly fall into the consideration dimension. Planning "consideration activities" which heighten a sense of faculty loyalty prior to implementing a change may help create a better climate for acceptance or negotiation and thus ease the strain of doing something different. The faculty learns that the principal does not need to be hit with a grievance in order to make him listen. The faculty trusts that they can come in and discuss the matter and that they may also guide the course of the proposed change by serving on a steering committee. In simple terms, initiating structure and consideration aids organizational effectiveness and

efficiency because the principal and teachers learn how to work together.

The concepts of initiating structure and consideration, effectiveness and efficiency, are related to the concept of the principal's locus of control as it serves the ability of a school to adopt to change. The relationship is served by two underlying dimensions of locus of control: risk and malleability. Principals with a sense of locus of control take risks. In a school, anytime change is introduced the principal is taking a risk because the change is bound to affect someone: teachers, students, parents, or the superintendent. Secondly, principals with a sense of locus of control perceive that the school system is flexible and accommodating to change. By perceiving that the school system does not demand blind obedience and by taking the risk to initiate change, we have the basic ingredients of locus of control.

Risk and malleability, initiating structure and consideration are intertwined. Since change involves risk, and since initiating structure involves change, Sarason's locus of control and Halpin's leadership behavior begin to merge. Actually, the more leadership behavior a principal exerts, the more risk he is able to take and the more risks he takes, the more malleable the system appears. One cannot lose sight of the importance of consideration behavior in this equation, however, because of the principal's or



leader's concern for efficiency. As earlier studies indicated, even in the military, where orders are accepted as a way of life, the leader's consideration behavior was an important behavior associated with superior leadership 11. In schools, teachers do not accept taking orders, and such behavior by the principal would develop antagonistic feelings between the principal and faculty. In fact, two other famous writers on the topic of leadership, Machiavelli and Carnegie, recognized the importance of "the human element" in accomplishing tasks and goals 12, 13. Halpin's consideration behavior is more than good human relations, but that is a part of it. By demonstrating frequent consideration and initiating structure behavior a principal will have also taken risks and tested the malleability of his school and the system frequently and successfully. By virtue of the leadership behavior exhibited by a principal, Sarason would have said such a principal demonstrates sufficient locus of control to deal with change effectively.

Summarizing then, Halpin's work in identifying initiating structure and consideration as critical dimensions of effective and efficient leadership behavior is as current and topical today as it was when he did his original

11. Halpin, Theory and Research, pp. 91-93.

12. Niccolo Machiavelli, The Prince, (New York: Penguin Books, 1975).

13. Dale Carnegie, How to Win Friends and Influence People, (New York: Simon and Schuster, 1981).

work in the late forties and early fifties. Initiating structure and consideration are fundamental tenets of leadership and may serve as the foundation for higher forms of leadership.

Finally, the school reform movement requires change. How a principal manages change is dependent upon his locus of control. The principal's locus of control is effected by his leadership behavior and how well he has managed his initiating structure and consideration behavior in the past. The relationship between locus of control and leadership behavior is circular and very important in these times of mandated educational changes.

#### HYPOTHESIS TWO

Hypothesis two is: "There is a significant difference between the mean scores of the four highest and lowest ranking schools, as identified by the LBDQ, on the Leadership Scale of the Illinois Quality Schools Index."

A t-test was performed to assess this hypothesis. Table Two presents the data.

TABLE TWO

#### T-TEST ON THE MEANS OF THE IQSI LEADERSHIP SCALE

GROUP	NUMBER	MEAN	SIGMA
TOP	30	0.032	0.193
BOTTOM	30	0.817	0.291

T=7.681 DF=+58 P=0000

The resultant t-test statistic of 7.681 is significant at the level of .01 probability. This result indicates there is a statistical difference between the means of the top and bottom groups of principals (as identified on the basis of the LBDQ scores) on the Leadership Scale of the Illinois Quality School Index. Thus, hypothesis two is not rejected.

Not rejecting this hypothesis indicates that those principals sorted into the top or bottom group of four, by the LBDQ, also have significantly different instructional leadership climates within their schools. The instructional leadership climate of the schools administered by the "top principals" have more congruence among the teachers concerning the degree to which valued instructional characteristics are demonstrated, than those schools administered by the bottom group of four principals. This finding lends itself to an analysis of the philosophy behind the development of the Leadership Scale of the IQSI and the relationship between principal's leadership behavior and the instructional leadership climate. In this study, the Leadership Scale of the Illinois Quality Schools Index was used to assess the instructional leadership climate. While the items on this instrument are characteristics of an instructional leadership climate, as gleaned from the literature on effective schools, the question of who exerts the leadership to develop or produce an effective instruct-

ional leadership climate seems to have been skirted. Specifically, on the Leadership Scale of the IQSI, leadership is described as follows:

"Few things in school just happen. A person or a group of people plan and cause things to happen. Usually this is an energetic, creative person with a dynamic, almost charismatic personality. A leader sees a need, assumes responsibility, and takes action. A leader decides what tasks need to be done and how to do them. Then a leader organizes the work, directs it, and inspires others to help. Leadership in a quality school can come from any one or a team of staff members and/or an interested parent 14."

This description of leadership indicates that the leader may be the principal, but could just as easily be anyone or any group. While it may be possible for someone or some group to devote the time and energy it takes to exert the leadership necessary to establish and maintain an effective instructional leadership climate within a school, it is not probable. In this study, a clear cut difference was found to exist between the instructional leadership climates of schools with principals who demonstrated higher rates of leadership behavior and schools whose principal demonstrated lower rates of leadership behavior; and there were no exceptions. That is, of the four principals who scored highest on the LBDQ, every one of these schools also had a more effective instructional leadership climate than each of the four schools whose principals scored lowest on the LBDQ. It would seem then, that the description of

leadership on the Leadership Scale of the IQSI may be an oversimplification of the realities of leadership in schools. The Leadership Scale of the IQSI should indicate, within its description of leadership, the importance of the principal in developing and maintaining the instructional leadership climate.

Another indicator that the description of leadership on the Leadership Scale of the IQSI may be an oversimplification is provided by the Illinois State Board of Education in the research they published concerning the issue of leadership. The documentation presented includes one hundred abstracts on leadership<sup>15</sup>. Seventeen of these are abstracts of articles which deal with research procedures, methodologies, bilingual or staff development programs and do not discuss leadership as it effects a school's instructional leadership climate or student achievement. Of the remaining eighty three articles, eighty one explicitly mention the importance of principal's leadership toward developing an effective school which is characterized by an instructional leadership climate and/or high levels of student achievement. The remaining two articles indicate that leadership may be vested in a team which could develop an effective instructional leadership climate. However, the fact remains that ninety seven percent of the documents

15. "School Leadership and Mission: A Casebook," Illinois State Board of Education, 1985.

which discuss the correlates of effective schools, indicate the role of the principal is extremely important. Not one article explicitly states that leadership by the principal is not needed or unimportant. Thus, the finding of the second hypothesis in this dissertation, and the supporting documentation for the Leadership Scale of the IQSI indicates the principal is a key figure in developing an effective instructional leadership climate. Yet, the Leadership Scale of the IQSI does not even mention the importance of the principal, and simply indicates that anyone, even a parent, can provide the wherewithal to develop an effective leadership climate.

To conclude, even though the Leadership Scale of the IQSI attempts to assess the instructional leadership climate of a school and avoids making a direct connection between it and the principal's leadership, the results of this hypothesis and supporting documentation of the Leadership Scale would make this distinction seem artificial and spurious. Furthermore, the statistical analysis of this hypothesis and related literature concerning the instructional leadership climate clearly indicates the strong connection between it and the principal's leadership.

Taking this analysis one step further, one may wonder why principal's leadership behavior and effective instructional leadership climates are connected. That is, what is the mechanism that serves this connection? For some, common

sense and intuition may look like the connecting mechanism. After all, what is so surprising in finding that principals who exert more leadership behavior have more effective instructional leadership climates in their schools? This finding seems logical and has a "man on the street" appeal. But, saying that this finding is logical, functional, and practical does not tell us anything about the dynamics concerning how a principal who demonstrates frequent initiating structure and consideration behavior comes to have an effective instructional leadership climate in his school. Just as the introduction to the Leadership Scale of the IQSI indicates, instructional leadership "does not just happen."

Two intervening variables which could explain the connection between a principal's leadership behavior and instructional leadership climate are the concepts of vision and loose tight coupling.

A principal's vision for the school is a conceptualization of what the school can be for its students. Vision is a sense of purpose and commitment to a goal. In the effective schools research, vision is one of the characteristics which separates effective from non-effective schools 16. The vision a principal must have in order for

16. Ronald Brandt, "On School Improvement: A Conversation with Ronald Edmonds," Educational Leadership , 40 (December 1982): 12-18.

his school to be considered as an effective one is to bring up all students to a specific standard of mastery in reading, language, and mathematics. In an effective school, students from poor families are not over represented in the percentage of students who do not meet the minimum standards in these content areas. Girls are not under represented in the top achievers in mathematics, and boys are not under represented in the top achievers in reading.

In order for the vision to become a reality, the effective schools literature has identified several management and instructional strategies which must be observed to produce the highest level of achievement for all students 17, 18, 19. These strategies are also the same characteristics noted on the Leadership Scale of the IQSI. The overlap or similarity between the Leadership Scale of the IQSI and the findings of the effective schools research should not be surprising as this instrument was developed from the effective schools literature. Thus, one explanation concerning the connection between principal's leadership behavior and the instructional leadership climate is a principal's vision that his school ought to be, or shall

17. Ibid.

18. National Association of Secondary School Principals, "The Practitioner," 11 (October 1984).

19. James Sweeney, "Highlights form Research on Effective School Leadership," Educational Leadership, 39 (February 1982): 349-351.



continue to be, an effective one. Such a vision requires that effective school management and instructional strategies are put into place, maintained, supervised, evaluated, and adjusted. Vision, then, is one bridge spanning the dimensions of leadership behavior and the instructional leadership climate. When leaders have visions of effective schooling, the characteristics of effective instructional leadership climates will begin to emerge.

The second bridge between leadership behavior and the instructional leadership climate is the concept of loose-tight coupling of tasks and objectives within the school. Loose tight coupling was identified as one of the eight basic ingredients for excellence by Peters and Waterman 20.

The essence of the loose-tight coupling is that not all objectives or activities are of equal value and importance for success. In a loose-tight system, the really important tasks are known and incorporated into the climate of the business, or school. There is no backing away from these objectives. Other objectives or tasks are recognized as secondary and individual autonomy is granted concerning how and when these tasks will be accomplished.

In schools, the loose-tight management system seems particularly appropriate because a principal cannot treat every demand as equally important. Nor can a principal set

20. Peters and Waterman, Jr., In Search of Excellence, p., 318.

a tone which demands complete obedience from the faculty on every issue. Loose-tight structure requires consensus building concerning what is really important and agreement that these tasks or objectives will be completed within a narrow set of parameters. Tasks, or objectives, which are not considered as primary are ascribed a secondary status. Again, everyone knows and understands which objectives are primary and secondary. Everyone knows and understands that the parameters differ concerning how and when the primary and secondary objectives are to be completed. The secondary objectives having wider parameters are accorded more flexibility and latitude in terms of how and when they are completed, than the primary objectives.

By developing such a consensus concerning what matters in the instructional climate, the principal allocates his time and resources, and also helps the faculty allocate their time and resources toward the completion of the primary objectives. In the case of effective schools, attention would be paid to the characteristics of the instructional leadership climate which have a positive affect upon student learning. Tasks which do not contribute toward effective schooling for all students would receive less attention and also be achieved through a greater variety of methods. Thus, the loose-tight scheme would be another way to explain the connection between a principal's

leadership behavior and the instructional leadership climate.

The second hypothesis then, provides several interpretations regarding the finding that there is a statistically significant difference between the instructional leadership climates in those schools whose principals' scored high or low on the LBDQ. This study supports and is in-line with a significant body of research which shows that the principal's leadership behavior is vital to establishing effective instructional leadership climate. The related concepts of vision and loose-tight coupling also serve as conceptual bridges to connect leadership behavior and climate.

### HYPOTHESIS THREE

Hypothesis three is: "There is a significant difference between the mean scores of the four highest and lowest schools ranking principals, as identified by the LBDQ, on the Pupil Control Behavior Form." Thus, the principals in the top group will demonstrate more humanistic pupil control behavior than the bottom group of principals.

A t-test was performed to assess this hypothesis. Table Three presents the data.

TABLE III

## T-TEST ON THE PUPIL CONTROL BEHAVIOR FORM

GROUP	NUMBER	MEAN	SIGMA
TOP	742	44.40	11.62
BOTTOM	616	44.93	11.35

T=1.66    DF=+50    P=.01

The resultant t-test statistic of 1.66 is significant at the .01 level of probability. This result indicates there is a statistical difference between the means of the top and bottom groups of principals, as identified by the LBDQ, on the Pupil Control Behavior Form. Thus, hypothesis three is not rejected.

In the case of this hypothesis, however, the bottom group of principals had the higher mean score. This is consistent with the premise behind this hypothesis and the scoring system of the PCB. On the PCB, the higher the score the more custodial is the style to control student behavior. Thus, the bottom group of principals are perceived by their students as demonstrating less humanistic behavior than principals in the top group.

A humanistic orientation toward pupil control behavior is an important part of the implicit curriculum. The implicit curriculum provides opportunities for students to learn about democracy and moral values; concepts which are considered to be of utmost concern for American public

education 21. The humanistic approach to pupil control behavior helps them learn about democracy and moral values because it provides more opportunities for students to exercise self discipline and moral reasoning. The humanistic style of pupil control behavior has been described as, "emphasizing a democratic atmosphere, in which student are thought capable of self discipline, are perceived as reasonable, trustworthy, and needing sympathetic understanding and permissive regulation 22." The humanistic approach to pupil control was further elaborated by Sweeting, Willower, and Helsel:

"Humanistic educators establish a basis of mutual respect and friendship with pupils. They are patient, congenial, and easily approached by students. These educators are responsive to student suggestions and encourage pupil self discipline and independence. They are flexible and tolerant in dealing with students and react toward misbehavior with efforts to understand it 23."

Flexibility, tolerance, patience, congeniality, respect of self and others, trustworthiness, and self discipline are all attributes of humanistic behavior, democracy, and those character traits schools are to foster.

21. William J. Bennett, First Lessons, Wwashington D.C.: U.S. Government Printing Office, 1986) p. 39.

22. Helsel, "Personality and Pupil Control Behavior," p. 81.

23. Lulene Sweeting, Donald Willower, and A. Ray Helsel, "Teacher-Pupil Relationships: Perceptions of Actual and Ideal Teacher/Pupil Control Behavior and Attitudes Toward Teachers and School," Urban Education, 8 (April 1978): 71- 72.

The relationship between a humanistic approach to pupil control behavior and the moral development of students can be best understood by comparing the attributes of the humanistic control behavior to the recommendations for the moral development of students made by the Panel on Moral Education of the Association for Supervision and Curriculum Development. The report entitled, "Moral Education in the Life of the School" identifies six characteristics of a morally mature person and expects that these characteristics will be addressed by the public schools 24. The six characteristics are: respects human dignity, cares about the welfare of others, integrates individual interests and social responsibilities, demonstrates integrity, reflects on moral choices and seeks peaceful resolution of conflict. Each of these characteristics shares certain attributes with the humanistic approach to pupil control behavior articulated by Sweeting, et al 25. This comparison can most easily be discerned by juxtaposing each attribute in columnar form thusly:

24. Kevin Ryan, "Moral Education in the Life of the School," Educational Leadership, 45 (May 1988): 4-10.

25. Sweeting, "Teacher Pupil Relationships," p., 73.

ASCD'S Moral Characteristics	Sweeting's Characteristics
Respects human dignity.	Shows acceptance of others.
Cares about the welfare of others.	Willingness to help others.
Integrates individual interests and social responsibilities.	Demonstrates self- discipline.
Demonstrates integrity.	Accepts responsibility for one's actions.
Reflects on moral choices.	Thinks about the conse- quences on one's actions.
Seeks peaceful resolution of conflicts.	Listens carefully to others.

The relationship between the six major characteristics of a morally mature person and a humanistic orientation toward pupil control behavior is not perfect but close. Schools which use the humanistic approach to pupil control encourage the development of moral ways of behaving because they are embedded in the model. The humanistic approach to pupil control is better able to develop students' moral values because it espouses many of the identical values which are considered to be exemplars of moral behavior.

Again, in terms of cogency, permissive regulation in the humanistic style of pupil control behavior may be the highest and best exemplar of the school's development of childrens' moral behavior. Schulte and Teal for example, state that the test of moral behavior is how one acts when one has an opportunity for behaving in some alternative

fashion 26. Schools which are oriented toward the humanistic style of pupil control behavior not only seek to develop a sensitivity for and appreciation of particular moral traits but also are infused with a moral climate which does not necessarily compel students to behave morally. Humanistically oriented schools are thus characterized by the opportunity they give students to choose between acting morally or not.

A humanistic approach toward controlling pupil behavior also lends itself toward teaching students about democratic governance. Raywid, in her critique of some works by John Dewey, underscored the importance of teaching democratic principles in our public schools. Raywid also saw great similarity between a democratic and humane approach toward regulating the affairs of others 27.

Perhaps the most cogent connection between the humanistic approach to pupil control behavior and democratic principles are the attributes of approachability, and responsiveness. In school, a principal's approachability and responsiveness to the concerns and complaints of students may be precursor of, and run parallel to, the rights citizens have to petition the government to redress

26. John Schulte and Stanton Teal, "The Moral Person," Theory into Practice, 14 (October 1975): 224-235.

27. Mary Anne Raywid, "The Democratic Classroom: Mistake or Misnomer," Theory into Practice, 26 (December 1987): 480.



their grievances. The concept of the responsiveness of leaders to their constituents is the foundation of one of the keystones of democracy - the electoral process.

In this discussion concerning the humanistic style of pupil control behavior and the implicit curriculum of teaching democratic and moral values, the Pupil Control Behavior Form seems to be a very appropriate assessment instrument. Its appropriateness is due to the fact that it is completed by the students and describes their perceptions of the pupil control behavior style their principals. If the adage, "values are caught not taught," has an element of truth, it would seem that the best environment for students to catch the values of the implicit curriculum would be one which emphasizes the humanistic style of pupil control behavior. The PCB then, is sensitive to students' perceptions of the humanistic orientation of their school's environment and also provides a reflection of the moral behavior they perceive in their teachers and principal. This dissertation has expanded the correlates of a humanistic approach to pupil control behavior by analyzing the results of the third hypothesis in terms of the development of moral and democratic values. All of the available studies concerning the use of the Pupil Control Behavior Form were reviewed for the second chapter of this dissertation. These studies primarily investigated classroom teachers' pupil

control style to other measures such as classroom robustness, or dogmatism within the school climate.

Rather than comparing student control behavior and school robustness, this study focused upon the humanistic style of pupil control and reasoned that it is a most appropriate vehicle for developing positive moral attitudes and an appreciation of democratic decision making and governance.

Another area of considerable interest is the similarity between principals who were rated as demonstrating frequent consideration behavior by their teachers and also rated as demonstrating a humanistic style of pupil control behavior by the students. Consideration behavior and humanistic pupil control behavior share some common characteristics such as approachability, willingness to listen, trying out new ideas (not locked into the status quo), and valuing individual achievements. Thus, there is not only a statistical similarity between consideration behavior and a humanistic style of pupil control behavior as evidenced by the acceptance of the third hypothesis, but they seem to be conceptually related as well. Additional justification for making the case for commonality between principal's consideration and humanistic behavior is related to the fact that the consideration score on the LBDQ of one of the principals in the top group was one standard deviation above the mean and this principal also ranked

first in terms of humanistic style of pupil control behavior.

There also appears to be another difference between the principals who were perceived as demonstrating more or less humanistic pupil control behavior by their students. This difference is not quantifiable but rather based upon observations made by the researcher of this study when visiting the schools to administer the research instruments to the faculty or students. In those schools where the principal was rated as demonstrating more humanistic pupil control behavior (the top group of principals as per the LBDQ) there seemed to be more of a student centered climate in these schools, then in the schools where the principals were rated as demonstrating less humanistic pupil control behavior (the bottom group of principals as per the LBDQ). The observation and evaluation of a more student centered climate is based upon the limited and perhaps superficial observation that these school seemed to have more student's work posted and displayed in the lobby and around the school. Perhaps such as observation and conclusion is specious, but perhaps not. Considering that categorizing a principal's pupil control behavior is based upon the students' perceptions of the principal's behavior, it is obvious that the principal has to do things to earn such a rating. Perhaps one of the ways the more humanistic principals behave is to allow, encourage, or take charge of

displaying students' work around the school. The observation and interpretation that principals who demonstrate a more humanistic approach to pupil control behavior would also encourage and foster a student center school climate by displaying the students' work seems logical. Not only is such an observation and analysis logical but it is also an example of using artifacts and unobtrusive measures to lend credence to a hypothetical construct such as humanistic or custodial pupil control behavior.

Artifact collection to support a custodial or humanistic control style would not necessarily have to be limited to the amount of student work posted around the school. Other artifacts which could be collected include a school's discipline code, suspension and absentee rate, incidents of vandalism, the number and nature of student assemblies (assemblies for the purpose of rule giving and lecturing versus award giving and cultural enrichment), the number of organizations or programs which involve students, or a count of the number of hugs and other signs of endearment between students and teachers or between students and the principal (keeping in mind this dissertation was limited to work in elementary schools).

Artifact collection and analysis would be a unique way to give credence to students' perceptions that the principal behaves in a custodial or humanistic manner regarding student behavior. Artifacts which seem to

emphasize rules and consequences, obedience to authority and control would support students' perceptions of a custodial pupil control style. Artifacts which seem to emphasize rewards for positive behavior, prevention of discipline problems, and "bonding" between students and adults would support students' perceptions of a humanistic pupil control style. Thus, artifact collection would be an important step in providing vivid support for the dimensions of custodial and humanistic control styles.

Lastly, this study makes an important contribution to the body of research concerning students' perception of their principal's pupil control style. In the review of the related literature only one study was found which had students assess the pupil control behavior style of the principal and this was the validation study on principals for the PCB.

The results of this dissertation indicate that students who are eight, nine, and ten years old can successfully complete the PCB. Successful completion means that students can reflect upon the behavior of their principal and make discriminating choices on the PCB. These choices are discriminating enough to rank principals along the custodial/humanistic continuum. The important implication is that the custodial/humanistic continuum as defined by the items on the PCB, is something third, fourth, and fifth grade students can recognize and make discriminating

choices and responses. In other words, if students were not able to recognize and categorize their principal's behavior in terms of the custodial/humanistic continuum, or if they were able to discern such behavior by the principal but not able to relate what they are able to discern to the response item on the PCB, both or either cases would make the PCB test results worthless because they would essentially be all the same. That is, if the task of reflecting upon the principal's behavior and being able to make a discriminating response on the PCB were beyond the capabilities of third, fourth, and fifth grade students, they may just put a continuous line through the PCB and respond in stereotyped ways. Such was not the case however, and the students were able to distinguish the nuances of custodial/humanistic behaviors and respond accordingly. Clearly then, this study demonstrated that elementary students can be used to investigate the pupil control style of their principal.

In summary, this study found that the four schools led by principals who ranked highest on the LBDQ were more humanistically oriented in their pupil control behavior than the principals who ranked lowest on the LBDQ. Additionally, this study also found that these two groups of principals may also differ in the degree to which they pay attention to the implicit curriculum.

## HYPOTHESIS FOUR

Hypothesis four is: "There is a positive correlation between the Leadership Behavior Description Questionnaire and the Leadership Scale of the Illinois Quality Schools Index."

A Pearson Product Moment Correlation Coefficient was performed to assess this hypothesis. Table Four presents the data.

TABLE FOUR  
CORRELATION BETWEEN THE LBDQ AND LEADERSHIP SCALE, IQSI

GROUP	CORRELATION	COVARIANCE
TOP	.44	.19
BOTTOM	.48	.23

The resultant correlation coefficients of .44 and .48, indicates a moderate positive correlation between the LBDQ and the Leadership Scale of the IQSI. Thus, hypothesis four is not rejected.

Not rejecting this hypothesis indicates that for the top and bottom group of principals, nineteen (19) and twenty three (23) percent of the common covariance between these two instruments is due to the same characteristic or characteristics. It also means there is a moderate degree of predictability between the LBDQ and the Leadership Scale of the IQSI. Thus, by knowing that a principal ranks high or low on the LBDQ one would be able to predict a greater or

or low on the LBDQ one would be able to predict a greater or lesser degree of congruence in the instructional leadership climate of the principal's school. Principals ranking high on the LBDQ would have greater instructional leadership congruence than principals who ranked low on the LBDQ

The moderately positive correlation between the LBDQ and Leadership Scale of the IQSI is reinforced by an item analysis. Evaluating each item on the Leadership Scale of the IQSI and categorizing it as an example of initiating structure or consideration behavior helps to develop a greater understanding and comprehension of the relationship between principal's leadership behavior and the instructional leadership climate. Many of the response items on the Leadership Scale of the IQSI are clearly related to the principal's initiating structure and consideration behavior.

Characteristics of an effective instructional leadership climate which coincide with a principal's initiating structure behavior include:

"Having clear understanding of their roles in the administration of the school.

Setting up activities which clearly support the school's mission.

Initiating and supporting new ideas for the school.

Being forceful and dynamic.

Managing school activities with order and discipline.

Setting high standards for themselves and others.



Finishing tasks that are started 28."

Characteristics of an effective instructional leadership climate which coincide with a principal's consideration behavior include:

"Giving support, encouragement, and help to others when trying new ideas.

Involving others when developing or evaluating programs.

Keeping the community informed about various school activities.

✓ Motivating and inspiring others.

✓ Believing in their own ability and that of others.

✓ Showing concern for self-growth and for the growth of others, both staff and students.

Getting along well with a variety of people 29."

While the items on the Leadership Scale of the IQSI and LBDQ are not identical, it is easy to detect the presence of initiating structure and consideration behaviors as underlying dimensions of these characteristics of an effective instructional climate. The two components of leadership behavior and instructional leadership climate characteristics are thus moderately correlated quantitatively and also seem to have conceptual similarities as well.

28. "Leadership Scale of the Illinois Quality Schools Index," Illinois State Board of Education, 1982.

29. Ibid.

## HYPOTHESIS FIVE

Hypothesis five is: "There is no significant difference in the rank order of the mean scores on the Leadership Scale of the Illinois Quality Schools Index and the Pupil Control Behavior Form."

The non-parametric Mann-Whitney U-Test was performed to assess this hypothesis. Table five presents the data.

TABLE FIVE

## MANN WHITNEY U TEST ON THE RANK ORDER OF THE IQSI AND PUPIL CONTROL BEHAVIOR FORM

SCHOOL RANK	IQSI MEAN	PCB MEAN
1	.28	43.53
2	.30	48.71
3	.34	54.44
4	.39	46.17
5	.53	39.13
6	.68	45.76
7	1.02	51.32
8	1.21	44.96

MANN WHITNEY U = 7.00 DF = 7 P = .43

The resultant U-test statistic of 7.00 indicates there is a significant difference between the rank order of the mean scores on the Leadership Scale of the Illinois Quality Schools Index and the Pupil Control Behavior Form. Thus, hypothesis five is rejected.

The rejection of this hypothesis indicates that an incremental increase in the level of congruence on the Leadership Scale does not also result in a similar incremental increase in a principal's humanistic approach toward controlling students' behavior. The rejection of this hypothesis also indicates that as the level of incongruence increases and the mean differences on the IQSI Leadership Scale becomes larger, there is not a similar incremental increase in the principal's use of custodial tactics to control students' behavior.

#### HYPOTHESIS SIX

Hypothesis six is: "There is no significant difference in the rank order of the mean scores on the Leadership Behavior Description Questionnaire and the Pupil Control Behavior Form." The non-parametric Kendall Tau Test was performed to assess this hypothesis. Table Six presents the data.

TABLE SIX

## KENDALL'S TAU TEST, RANK ORDER OF THE LBDQ AND PCB

SCHOOL	LBDQ MEAN	RANK	PCB MEAN	RANK
A	45.2	1	43.53	2
B	45.0	2	54.44	8
C	42.5	3	39.13	1
D	41.5	4	48.71	6
E	39.5	5	51.33	7
F	36.6	6	45.76	4
G	36.0	7	46.17	5
H	34.8	8	44.96	3

KENDALL'S TAU=.07

The resultant Tau statistic of .07 indicates there is a significant difference between the rank order of the means of the Leadership Behavior Description Questionnaire and Pupil Control Behavior Form. Thus, hypothesis six is rejected.

The rejection of this hypothesis indicates that as principals are rated higher on the LBDQ as exhibiting more behavior within the dimensions of "initialing structure" and "consideration," there is not a similar incremental increase in the principals' use of humanistic tactics to control students' behavior.

## ADDITIONAL ANALYSIS

At this point then, based upon the research in this dissertation, a picture of two different kinds of principals begins to emerge. One kind of principal seems to be a considerate person who does personal things for the faculty to keep them working together harmoniously with a high level of morale. This principal also is recognized as being concerned with the mission of the school and makes sure that people accomplish their tasks. This principal is more than an administrator, however. This person also works within a school environment which has in place a developed consensus that instructional leadership is taking place. Lastly, this kind of principal is more oriented toward humanistic methods of controlling student behavior than the other kind of principal. The "other kind" of principal does not seem to be as concerned about maintaining morale or in developing strategies to administer the school effectively. Nor does this kind of principal work in a school where there is as much agreement concerning the degree to which instructional leadership is taking place. This kind of principal is also less humanistic in his pupil control behavior style.

Leadership by the principal is important. The review of the related literature for this study and its findings support this statement. In previous studies, schools where the principal was rated as engaging in frequent initiating structure and consideration behavior, other dimensions of

leadership were also found to exist in greater frequency. These other dimensions included loyalty, the professional zone of acceptance, procurement and disposal functions, performance ratings from the superintendent, and reputation of the department at a university. The importance of leadership by the building principal was highly underscored by Andrews, who gathered data from one hundred schools over a three year period to find out the affect principals had on student achievement levels. Andrews stated:

"Frankly, I never anticipated that we would find such a powerful relationship between leadership of the principal and student outcomes. After all, the principal is one step removed from the direct instructional process. What we found is that the teachers' perception of their work environment is so important, the power of the principal's leadership so pervasive, that it has a measurable affect on student learning 30."

Such a strong statement is certainly contrary to the recommendations made by one of the school reform reports, specifically The Report of the Task Force on Teaching as a Profession entitled, "A Nation Prepared: Teachers for the 21st Century 31." The writers of this report recommend the position of principal be eliminated and the school run by a committee of "Lead Teachers." The report suggests that Lead Teachers would be able to, "help their colleagues to uphold high standards of learning and teaching; assume full responsibility for the school . . . would recommend

30. Brandt, "A Conversation With Richard Andrews," p. 15.

31. Carnegie Forum on Education and the Economy, A Nation Prepared: Teachers for the 21st. Century, 1986.

dismissal, subject to established procedures 32." Also, "Lead teachers would derive their authority primarily from the respect of their professional colleagues 33."

The interesting or dismaying thing about this recommendation is that it was made by a "blue ribbon" panel which was charged with the task of studying the profession of education and making recommendations concerning its improvement. The recommendation that principals be replaced does not appear to be the result of findings based upon research vis`a`vis Andrews or the ethnological approach vis`a`vis Edmonds. Whether the approach used to examine leadership is research or discovery based, the findings tend to show the same thing that was demonstrated in this dissertation; namely, leadership does make a difference. In this dissertation, principals who were rated by their faculties as demonstrating significantly greater initiating structure and consideration behavior, were also rated more humanistic in their pupil control behavior style by the students, and had significantly more congruence concerning the characteristics of an effective instructional leadership climate than principals who were rated by their faculties as demonstrating significantly less initiating structure and consideration behavior. In this dissertation, a principal's leadership behavior was the independent variable which had a

32. Ibid., p. 61

33. Ibid.,. 58.

measurable and significant effect upon the dependent variables of the instructional leadership climate and students' perception of the style of pupil control behavior used.

The finding of this dissertation that the principal's leadership does make a difference is also supported by Dale Mann, Professor of Education at Teachers College, Columbia University; Ted Elsberg, Acting President of the American Federation of School Administrators; William J. Bennett, Secretary of Education; and Mary Hatwood Futrell, President of the National Education Association 34, 35, 36, 37.

The "Carnegie Report" does not cite any evidence to indicate that a committee of Lead Teachers would have a better impact upon the effectiveness of schools than an effective principal. That is, there is a vast amount of research which has found that principals were the key in terms of providing the effective and efficient leadership necessary for developing an effective school. Providing effective and efficient leadership via a committee of Lead Teachers is, on the other hand, something which has yet to be tried and proven and is only speculative at this point.

34. Dale Mann, "Principals, Leadership, and Reform," Education Week, December 18, 1985, p. 16.

35. Ted Elsberg, "Who Should Be Schools' Instructional Leaders?" Education Week, August 4, 1987, p. 44.

36. Ibid.

37. Ibid.



Another contemporary issue which is closely related to the importance of the principalship is the question of training. Professional training for the principal merges Halpin's work on initiating structure and consideration, with the effective schools research on instructional leadership climates. First of all, the issue of training for school principals must be seriously considered. The call for training was clear in A Nation at Risk, which recommended:

"Principals and superintendents must play a crucial leadership role in developing school and community support for the reforms we propose, and school boards must provide them with the professional development and other support required to carry out their leadership role effectively 38."

There are two fundamental dimensions of training however, and these two dimensions represent the merging of Halpin's work and that of the effective schools research. The dimension which comes from the research on the instructional leadership climate of effective schools has led some educators to contend that training programs for principals should focus upon instructional issues. This type of training program would enable the principal to act as an instructional leader and help teachers with their pedagogical skills. This line of reasoning makes sense as few principals would want to risk the embarrassment of trying to

38. National Commission on Excellence in Education, A Nation at Risk, 1983, p. 32.

provide instructional supervision and leadership when they do not have a clear idea of what to do, or how to do it 39. If principals are to act as instructional leaders they must have training in instructional leadership skills. Instructional leadership skills involve becoming competent in instructional techniques and in the content areas of reading, mathematics, and science, for example. Without such training principals, especially those who have been away from the classroom for several years, may not leave the security of their office, and fill their time with management rather than instructional activities 40.

The training dimension which comes from the work of Halpin concerns itself with getting teachers to willingly accept the instructional strategies the principal recommends. Assuming that teachers will readily accept the recommendations of their principal just because he is well versed and competent in a variety of pedagogical skills is a mistake. Something more is needed than competence in instructional strategies and expertise in the content fields. What is needed is leadership behavior from the principal which has set in motion those conditions where trust, confidence, respect, and loyalty have been established within the school. When these conditions exist

39. Henry Brickell, "Ten Policies for Raising Student Achievement," Educational Leadership, 42 (October 1984): 54-61.

40. Mann, "Principals, Leadership, and Reform," p., 16.

and the principal is also competent in teaching strategies and content skills, the combination enables the principal to exert instructional leadership and have the teachers willingly accept his recommendations.

Roland Barth, author and former director of the Harvard Principals' Center, discussed the need for an effective diffusion model in principal training programs 41. An effective diffusion model works from the same combination of conditions as just described, namely, that for principals to be instructional leaders they must know about instruction and practice leadership behavior. Thus an effective diffusion model trains principals in pedagogical, content instructional skills, and leadership practices. Training in these dimensions enables a principal to gain instructional expertise and develop leader-follower allegiances which enhance teacher's willing acceptance of suggestions and recommendations concerning their instructional strategies and classroom management procedures. Providing principals training in pedagogical, content skills, and leadership behavior brings one back to Halpin's remarks concerning effectiveness and efficiency 42. Leaders are responsible for seeing that the members of the work group complete their assigned tasks so that the organization can fulfill its

41. Roland Barth, "Now What?" Principal, 61(March 1982):8.

42. Halpin, Theory and Research p., 87.

mission (effectiveness), and the work group is maintained and fulfills certain psycho-social needs of the members so that they willingly complete their responsibilities to the best of their ability (efficiency). The diffusion model which trains principals in pedagogical techniques focuses on effectiveness only. The diffusion model which trains principals in pedagogical techniques and leadership behavior focuses on effectiveness and efficiency. Principals who receive training in both areas will be well prepared to work with their teachers to implement instructional strategies.

Additional research providing insight into the preference for a diffusion model which links teaching pedagogy and leadership behavior in principal training programs is provided by the related work of Kunz and Hoy; French and Raven 43, 44. The work of Kunz and Hoy seems particularly well suited to a discussion of a diffusion model of principal training programs. Afterall, the purpose for training principals is to enable them to work with teachers to help more students learn more. The question then becomes, how do principals get teachers to willingly implement recommendations and new techniques in their classrooms? Kunz and Hoy researched this area and concep-

43. Kunz and Hoy, "Professional Zone of Acceptance," p., 49-62.

44. John French and Bertram Raven, "The Bases of Social Power," in Studies in Social Power, edited by Dorwin Cartwright, Ann Arbor, Michigan: The University of Michigan Press, 1959. .

tualized it as the professional zone of acceptance. That is, in that area of teacher behavior where the principal has little or no legal power, namely teaching strategies and techniques, some principals were able to be more of an influence than others. The variable which influenced the teacher's behavior within their professional zone of acceptance was the principal's leadership behavior. Those principals who demonstrated greater frequency in their initiating structure and consideration behavior had teachers which granted a wider zone of acceptance than principals who demonstrated infrequent leadership behaviors 45.

French and Raven studied power and the effect it had upon teachers' professional zone of acceptance. The effect that power has is best understood when one first considers the definition offered by Sergiovanni, who said power is, "winning individual or group compliance to superiors in the organization 46" The "winning" aspect of power indicates that the influence a leader has over others in the organization is something to be earned, not granted. The "winning" aspect is especially cogent within the professional zone of acceptance that deals with teachers' instructional methods and classroom routine 47.

45. Kunz and Hoy, "Professional Zone of Acceptance," p., 49.

46. Thomas Sergiovanni and Robert Starratt, Supervision: Human Perspectives, New York: McGraw Hill, 1979, p. 138.

47. Kunz and Hoy, "Professional Zone of Acceptance," p., 49.

Providing training to principals in effective instructional supervisory skills will enable them to demonstrate instructional expertise. This, according to French and Raven, is expert power or, "power based on the perception that O (a person) has some special knowledge or expertise 48. Additional research in social power demonstrated its relationship, though implied, to the professional zone of acceptance. Balderson found:

"Schools with principals whose power was perceived to rest on relevant expertise received high scores for teacher morale, teacher satisfaction with principal's performance, and the degree to which the principal favored teachers: doing an effective job helping students learn, experimenting with new ideas and techniques, and suggesting ideas to improve the school 49."

Concluding his study, Balderson said:

"If we also note that supervisors are involved in the task of achieving better instruction by working through others, that is teachers, it seems evident from these data that the effectiveness of supervisory practice will be enhanced by the adoption of practices based on expertise 50."

Halpin then, does have much to offer contemporary educational leaders who want to respond to the call for training and meet the crucial standards of a successful diffusion model that of training for effectiveness and efficiency.

48. French and Raven, "Social Power," p. 612.

49. James Balderson, "Principal Power Bases: Some Observations," The Canadian Administrator, 14 (1975): 3-4

50. Ibid., p. 50

Putting aside the need for a successful training diffusion model in response to the nation being at risk, the need for such training may arise from personal risk as well. Mr. Gary Ratner, associate general counsel for litigation with the U.S. Department of Housing and Urban Development expressed the opinion that the body of research which has accumulated concerning effective school practices places a legal obligation for schools to implement these practices to educate students regardless of any socio-economic or demographic characteristics 51. Mr. Ratner indicates that the legal standing to hold school districts accountable for the quality of their educational programs comes from state constitutions (which declare education a paramount duty), the due process clause of the 14th Amendment to the U. S. Constitution (which could be used to argue that a student's liberty is being denied because effective instructional practices are not being used in his school), and the common law of negligence (which imposes a duty for educators to demonstrate reasonable responses in the face of a student's difficulty in learning the required curriculum). Mr. Ratner specifically mentions the principal as the person who may be liable for the failure of his school to adopt effective educational practices as a result of his failure

51. Gary Ratner, "A New Legal Duty for Urban Schools: Effective Education in Basic Skills," Education Week, October 30, 1985, p. 24.

to provide effective instructional leadership. So, again a training model for principals which incorporates diffusion strategies and pedagogical techniques will give principals the expert power and leadership skills necessary to have a positive affect upon teachers' professional zone of acceptance.

In the final analysis however, the issue of training principals is important because they affect the quality of their school's educational program. John Goodlad looks toward school principals and a sophisticated training program for improving our schools 52. Goodlad suggests that school districts develop a cadre of teachers who show promise in becoming future principals. Criteria for becoming a part of this cadre would be teachers who demonstrate instructional expertise and leadership behavior. As a part of their grooming for a principalship, school districts ought to grant paid sabbatical leaves to enable these prospective principals to study at major universities which have established reputations in the quality of their graduate programs in educational leadership and policy studies 53.

So far several distinct elements of this study have been analyzed such as the relevancy of initiation structure

52. John Goodlad, A Place Called School, New York: McGraw-Hill, 1984, p. 306.

53. Ibid., p. 307.



and consideration today, the effect initiation structure and consideration have upon the teachers' professional zone of have upon the teachers' professional zone of acceptance, the ability of a school to adopt to change, and other issues concerning the instructional leadership climate, and pupil control behavior as it may facilitate the development of a student's moral reasoning.

Each component investigated in this study, the leadership behavior of the principal, the instructional leadership climate of his school, and how he establishes and maintains student discipline and instills civic and moral values represent fundamental dimensions of a principal's job. A principal is supposed to be a leader, to be an instructional supervisor, and deal with students' behavior in a manner which helps them become more independent and responsible. The instruments used in this study are specifically designed to assess each of these fundamental duties of leadership, pupil control, and instructional supervision. However, the LBDQ, Leadership Scale of the IQSI, and Pupil Control Behavior Form do not have to be thought of as only assessment instruments. In a sense, each instrument can also be considered as a table of specifications or reference guide which identifies and defines the component being measured. For example, the individual items on the Leadership Behavior Description Questionnaire can not only be used to measure leadership behavior, but they can also be

used to identify and define initiating structure and consideration behavior. How thoroughly a principal truly comprehends the dimensions of initiating structure or consideration behavior would depend on whether or not he has also read books and articles on the subject. However, even if such a principal's background reading was minimal, he would have an idea of what kinds of behavior are examples of initiating structure or consideration simply by studying the LBDQ, manual, and scoring system. The items which make up the LBDQ become exemplars or attributes of initiating structure or consideration. As the items on the assessment instrument become attributes of the dimension being measured the instrument, (whether it be the LBDQ, IQSI, or PCB,) helps a principal learn the specific characteristics, attributes, or terrain of each component. Learning the attributes of each component assists the principal's professional development. The more a principal is able to articulate specific characteristics or attributes of leadership, instructional climate, and pupil control style the less he sees them as an undifferentiated mass. By being able to articulate specific characteristics within each component a principal could then begin to behave in purposeful ways to work toward obtaining a desired response from the faculty, students, or instructional environment. For example, a principal generally knows he is responsible for school discipline. Accordingly a principal develops

rules and sanctions to develop a safe and secure environment. However, by considering the Pupil Control Behavior Form and the rationale beneath the custodial and humanistic dimensions a principal could think about and evaluate his discipline in more precise terms and with deeper meaning. That is, a principal who may have never conceived of his responsibility for creating a safe and secure environment as anything more than developing and enforcing a set of rules may find the custodial/humanistic continuum not only helpful but professionally enlightening. Understanding the elements of the custodial and humanistic pupil control style would enable a principal to look at the rules and sanctions he has put into place and decide if they reflect the kind of control style he really intended for his school. Understanding the characteristics of the custodial and humanistic pupil control style would also enable a principal to articulate specific elements of these dimensions. A principal would know that a custodial pupil control orientation is more than being strict, and a humanistic pupil control orientation is more than being fair and nice. Being able to articulate the reasons for school rules and procedures gives them cohesion and focus. The goal of working toward a humanistic style of pupil control behavior gives meaning and direction to how a principal establishes and maintains a safe and secure environment.

Analyzing leadership behavior and the instructional leadership climate may also assist a principal in discriminating the finer points or characteristics of each component.

In terms of leadership behavior, a principal may perceive that he should practice participatory and democratic leadership. These concepts however, seem very global and may not help a principal conceptualize the important leadership goals of effectiveness and efficiency. The instruments used in this study and the manner in which the data was analyzed would aide a principal in understanding the initiating structure and consideration dimensions of leadership behavior. When a principal must make decisions, and if when he does so, he keeps initiating structure and consideration in mind, he will also demonstrate participatory and democratic leadership as well. Participatory and democratic leadership are inherent within the dimensions of initiating structure and consideration. Initiating structure does not mean the leader acts as a dictator. Consideration does not mean the leader acts a recreation director aboard a cruise ship. Both dimensions of initiating structure and consideration require that a leader or principal involve others in the development of the ways and means of achieving the twin objectives of organizational effectiveness and efficiency.

As for the instructional leadership climate this study helps a principal come to know its terrain. The terrain of the instructional leadership climate is identified by the items on the Leadership Scale of the Illinois Quality Schools Index. To be sure, there may be other definitions and descriptions of instructional leadership climates which a principal may prefer over the one used in this study. Nevertheless, the Leadership Scale of the IQSI is research based and is a legitimate tool for defining the instructional leadership climate of a school.

By becoming knowledgeable of the instruments used in this study and their research base a principal can conceptualize his leadership behavior, the instructional leadership climate of his school, and his style of controlling student behavior more definitively and hopefully more accurately. Being able to think about leadership behavior, leadership climate, and pupil control behavior in more detail enables principals to perceive their work in more discrete and yet related ways. It is like thinking of the "thing" which powers an automobile as an engine or as a system of components such as a battery, spark plugs, fuel pump, etc. The more knowledge a principal has about the components of his task of providing leadership, developing an instructional leadership climate, and fostering civic and moral values in students, the better job he can do in

diagnosing problems, preventative maintenance, or fine tuning.

What has not been analyzed yet is the significance of looking at what principals do as viewed from the combined perspective of leadership behavior, the instructional leadership climate, and style of pupil control behavior.

Viewing these three components as a unitary system provides a very pertinent yet simple model which may help a principal to perform more effectively and efficiently. Specifically, each instrument could be used in concert with each other to enable a principal to assess his performance in these three areas, and develop personal and/or school improvement plans to improve perceived weak areas. Thus, a principal could administer the LBDQ, Leadership Scale of the IQSI, and PCB to the teachers and students in his school and use the results to know "where he stands" relative to these components. By collecting such baseline data the principal could then plan "where he wants to go" relative to each component. Furthermore, by examining the response items on each instrument and using them in a diagnostic fashion, a principal could make decisions regarding "how shall I get there?"

If a principal wanted to improve his leadership qualities in general, he might look toward increasing the frequency of his initiating structure and consideration behavior. The LBDQ could be used as a pre and post measure

to assess how successful his efforts at increasing his leadership behavior has been. The interval of time could be three to five years. During that time, the principal could implement or refine procedures, develop instructional programs, and do things for his teachers which will help make working in the school more enjoyable and pleasant. Some of the objectives a principal may want to improve upon could be taken directly from the LBDQ or texts written by Halpin which provide a very thorough description of the characteristics of initiating structure and consideration.

The Leadership Scale of the IQSI could be used as a device not only to assess the current level of congruence within the instructional leadership climate, but to identify those characteristics of least congruence and develop them into objectives for school improvement plans. By taking the initiative to gather the data from the Leadership Scale, analyze it, present the findings to the faculty and gain agreement as to what characteristics to target for school improvement and how to go about it, the principal would not only be working toward improving the climate of instructional leadership but also demonstrate initiating structure behavior as well. The Leadership Scale of the IQSI is thus not only a practical aid per se, but can also guide initiating structure behavior, too.

A similar relationship exists between the consideration dimension of the LBDQ and the Pupil Control Behavior

Form. While a principal can do a variety of little things to maintain group membership, such as remembering teachers' birthdays and organizing various celebrations, these are hardly related to the school's mission. A much more cogent way to behave considerately toward teachers would be to make school discipline less onerous. Problems with school discipline can have an extremely adverse effect upon the work environment as not only must teachers handle the problem child, but often the child's parents as well. As school discipline and the establishment of a safe and secure environment are matters of significant concern to teachers, a principal can be guided by the humanistic dimension of the PCB to improve and increase the LBDQ dimension of consideration amongst the teachers. By behaving in a manner which students perceive as humanistic and by creating a safe and secure environment whereby the students learn to treat each other fairly and mannerly, the teachers' work environment will be much more pleasant than an environment dominated by the custodial ethic.

The three instruments used in this study, the Leadership Behavior Description Questionnaire, Leadership Scale of the IQSI, and the Pupil Control Behavior Form can be used together then, and enable a principal to assess fundamental components of his school and plan for improvement. Thus, when the question was posed in the first chapter of this dissertation, "Are there things I can do to



improve the educational effectiveness of my school?" this dissertation does indeed provide an affirmative answer.

#### SUMMARY

This study found that principals who rated highest on the LBDQ were also perceived to behave more humanistically by their students and have greater consensus and congruence in the instructional leadership climate of their schools, then those principals who rated lowest on the LBDQ. These findings also have a common sense appeal. To state that the best principals are the ones who take an active role in designing, implementing, and supervising programs and procedures to accomplish their school's mission; develop and maintain a pleasant working environment for their faculty; have a school environment where the teachers work together and effective instructional leadership characteristics are practiced; and the students perceive the principal as behaving humanistically towards them in developing and maintaining a safe and secure school environment . . . sounds right! The common sense theme of this study and the significant statistical findings based upon the use of the Leadership Behavior Description Questionnaire, Leadership Scale of the Illinois Quality Schools Index, and the Pupil Control Behavior Form could be used to an administrator's advantage to plan school improvement goals within each of these components. Specifically, principals could use the

same instrumentation as in this study to assess their leadership behavior, instructional climate of their school, and perceived pupil control style. Based upon the results, principal could target and plan for improvement in any or all of these three dimensions.

School leadership is critical. If a school is "in trouble," the responsibility must rest at the administrator's feet. This study provides information which can be used by administrators to become more effective. Best of all, the things which a principal can do to become more effective are under his direct control. The work environment cannot be an absolute and total impediment for improvement. Any principal can engage in more behavior which helps to define and structure the task, make the work environment more pleasant for the faculty, talk to teachers about focusing on and increasing the degree to which some characteristics of instructional leadership are demonstrated in the school, and deal with students more humanistically.

If principals used the Leadership Behavior Description Questionnaire, the Leadership Scale of the Illinois Quality Schools Index, and the Pupil Control Behavior Form as assessment and diagnostic devices, and planned and implemented school improvement activities accordingly, the results may be improved resource productivity and our country may not remain a nation not at risk.

## CHAPTER IV

### SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

#### INTRODUCTION

This chapter provides a summary of this study, its conclusions, and offers recommendations as to its implications for theory and practice, and suggest topics for further research.

#### SUMMARY

The purpose of this study was to investigate the relationship among principal's leadership behavior, the instructional leadership climate of their schools, and their pupil control behavior style. The Leadership Behavior Description Questionnaire was used to measure the principal's leadership behavior. The Leadership Scale of the Illinois Quality Schools Index was used to measure the instructional leadership climate within the schools. The Pupil Control Behavior Form was used to measure the principal's style of pupil control behavior. Initially, twenty elementary school were identified for participation in this study. The researcher administered the Leadership Behavior

Description Questionnaire and Leadership Scale of the Illinois Quality Schools Index to the faculties of these twenty schools. The Leadership Behavior Description Questionnaire was then scored and the four highest and four lowest ranking principals were identified. The researcher went back to these eight schools and administered the Pupil Control Behavior Form to all of the students in grades three, four, and five. The data from these eight school were used to research this study's hypotheses.

#### CONCLUSIONS

The data were collected and analyzed to accept or reject six hypotheses. The hypotheses and findings of this study are:

1. There is a significant difference between the means of the four highest and four lowest scoring principals, on the Leadership Behavior Description Questionnaire.

This hypothesis was accepted at the .01 level of probability.

This means that the Leadership Behavior Description Questionnaire is an instrument which teachers can use to differentiate the amount of initiating structure and consideration behavior their principals demonstrate. Thus, the LBDQ can still be used today to make distinctions among

principals concerning the degree to which they engage in initiating structure and consideration behavior.

2. There is a significant difference between the means of the four highest and four lowest ranking principals as identified by the LBDQ, on the Leadership Scale of the Illinois Quality Schools Index.

This hypothesis was accepted at the .01 level of probability.

This finding indicates that principals who demonstrate more initiating structure and consideration behavior toward their teachers also have a greater degree of congruence in the instructional leadership climate of their schools, than principals who do demonstrate less initiating structure and consideration behavior toward their teachers.

3. There is a significant difference between the means of the four highest and four lowest ranking principals as identified by the LBDQ, on the Pupil Control Behavior Form.

This hypothesis was accepted at the .01 level of probability.

The acceptance of this hypothesis indicates that principals who are perceived by their teachers as engaging in more initiating structure and consideration behavior are also perceived, by their students, as more humanistic in their pupil control behavior style, than principals who

engage in less initiating structure and consideration as perceived by their teachers.

4. There is a positive correlation between the Leadership Behavior Description Questionnaire and the Leadership Scale of the Illinois Quality Schools Index.

This hypothesis was accepted and moderately positive correlations of .44 and .49 were found between the dimensions of initiating structure and consideration, and the degree of congruence in the instructional leadership climate, respectively.

This finding indicates that there is some degree of commonality between the dimensions of initiation structure and consideration, and an effective instructional leadership climate. When principals demonstrate frequent initiating structure and consideration behavior, chances are moderately positive that the faculty agrees on several important characteristics of an effective instructional leadership climate.

5. There is no significant difference in the rank order of the mean scores on the Leadership Scale of the Illinois Quality Schools Index and the Pupil Control Behavior Form.

This hypothesis was rejected.

The rejection of this hypothesis indicates that an incremental increase in the congruence of a school's

instructional leadership climate does not necessarily result in a similar incremental increase in the principal's humanistic pupil control style.

6. There is no significant difference in the rank order of the mean scores on the Leadership Behavior Description Questionnaire and the Pupil Control Behavior Form.

This hypothesis was rejected.

The rejection of this hypothesis indicates that incremental increases in the amount of initiating structure and consideration behavior a principal demonstrates does not necessarily result in a similar incremental increase in the his humanistic pupil control behavior style.

As a result of this study, a profile developed which delineated a cluster of dimensions which statistically hung together. Two groups of principals were identified and were statistically differentiated from each other along each dimension continuum. The top group of principals were found to engage in significantly more frequent behavior which initiated structure and maintained morale amongst their teachers than the bottom group of principals. The top group of principals had in place a school environment where the faculty practiced those characteristics of instructional leadership which positively affects student achievement. This top group of principals also behaved more humanistically in establishing school discipline. The bottom group

of principals, on the other hand, were found to engage in significantly less leadership behavior, had significantly less congruence in the instructional leadership climate of their schools, and were perceived as less humanistic in their pupil control behavior by their students.

### RECOMMENDATIONS

This study suggests implications for theory, practice and further research.

### IMPLICATIONS FOR THEORY

1. The Leadership Behavior Description Questionnaire and dimensions of initiating structure and consideration are as useful and relevant to school principals in 1989 and they were in 1957 when the LBDQ was developed.
2. The Leadership Scale of the Illinois Quality Schools Index can be used to identify and rank schools with more or less congruence within their instructional leadership climate.
3. The dimensions of initiation structure and consideration are basic tenets of leadership and are necessary but not sufficient conditions for achieving higher forms "art forms" of leadership.



4. The dimensions of initiation structure and consideration are necessary but not sufficient conditions for the existence of an effective instructional leadership climate.
5. The consideration dimension of leadership behavior is related to a principal's humanistic pupil control behavior.
6. The Pupil Control Behavior Form can be used by students in grades three, four and five to place the pupil control behavior style of their principal along the custodial/humanistic continuum.
7. The humanistic dimension of pupil control behavior is positively related to students' moral development and appreciation of democratic decision making.

#### IMPLICATIONS FOR PRACTICE

1. Principals ought to assess their behavior along the dimensions of initiating structure and consideration and develop professional growth plans to increase the frequency of leadership behavior in those areas which receive low ratings.
2. Principals ought to use the Leadership Scale of the Illinois Quality Schools Index and identify

those characteristics of an effective instructional leadership climate which have the least congruence between what teacher's value as important and perceive as being demonstrated in the school climate. These characteristics of least congruence ought to serve as school improvement goals.

3. Principals ought to know more about the custodial/humanistic continuum of pupil control behavior so they can articulate the kind of pupil control climate they want to establish and maintain in their school building.
4. Principals ought to use the Pupil Control Behavior Form to assess the degree of congruence between what they perceive as their pupil control behavior style and what the students perceive as the principal's pupil control behavior style. Principals could develop professional growth plans to work toward more congruence and less dissonance between how their pupil control behavior style is perceived by students and the style the principal thinks he uses.

## RECOMMENDATIONS FOR FURTHER RESEARCH

As a result of this study and its findings recommendations for further research are suggested.

1. Work related data about the principals who ranked in the top and bottom groups, on the LBDQ, should be collected to see if they differ in other dimensions as well. Perhaps these principals may also differ in such other areas as the amount of time they have been in their position, graduate work completed beyond the Master's Degree, or whether or not they were employed as a teacher in the district prior to assuming the principalship?
2. Principals who ranked in the top and bottom groups, on the LBDQ, should be interviewed and asked to predict how they think the faculty will rate them in terms of leadership behavior, and the degree of congruence in the instructional leadership climate. Perhaps there is a difference between the accuracy of the top and bottom group of principals concerning their self perception and what others perceive?
3. Achievement data of the students whose principals ranked in the top or bottom group, on the LBDQ, should be compared. Perhaps

- students in schools whose principal ranked in the top group perform better than students whose principal ranked in the bottom group when other student variables are held constant?
4. The relationship between a principal's pupil control behavior style and the development of students' moral reasoning ability should be investigated. Perhaps students in schools whose principal ranked highest in using a humanistic style of pupil control behavior are more able to reason at a higher moral level than students whose principal ranked lowest in the humanistic approach?
  5. The relationship between a principal's pupil control behavior style and students' appreciation of democratic institutions and decision making should be investigated. Perhaps students in schools whose principal ranked highest in using a humanistic style of pupil control behavior show greater appreciation for democratic principles than students whose principal ranked lowest in the humanistic approach?
  6. A system of artifact collection should be developed to provide another set of data with which to support the description of a principal's pupil control behavior style as more or less

custodial or humanistic. Perhaps such a system of artifact collection would lend construct validity to the Pupil Control Behavior Form?

7. The relationship between a principal's pupil control behavior style and the presence of a safe and secure environment should be investigated. Perhaps there are fewer student fights and injuries in schools where principal demonstrates more humanistic pupil control behavior than in schools where the principal demonstrates less of a humanistic approach?

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APPENDIX A  
CORRESPONDENCE



# VALLEY VIEW PUBLIC SCHOOLS

160

## COMMUNITY UNIT DISTRICT 365-U

NORTH VIEW SCHOOL  
151 EAST BRIARCLIFF ROAD  
OLINGBROOK, ILLINOIS 60439  
PHONE (312) 739-5401

WILLIAM ZIELKE  
PRINCIPAL

August 12, 1987

Dr. Jeffrey Weaver, Superintendent  
1860 63rd Street  
Downers Grove District #58  
Downers Grove, Illinois 60516

Dear Dr. Weaver:

Thank you for discussing my research proposal with me, over the telephone, a few days ago. As you requested, I've enclosed copies of the instruments which I will be using to collect data for my dissertation. The title of my dissertation is, "The Relationship Among Principals' Leadership Behavior, School Effectiveness, And Pupil Control." Dr. Heller, Chairman of the Department of Administration and Supervision, at Loyola University of Chicago, is the chairman of my committee.

All of us charged with the responsibility of educating our students are concerned with excellence. School principals are charged with the task of providing effective leadership so that their students and teachers can work effectively and perform at higher levels of achievement. The thrust of my research is taken from the school effectiveness literature which shows that the leadership of the building principal is a key feature in schools.

My research tests the relationship between the leadership climate, which exists in the school, and how the building principal is perceived, by the faculty, in terms of two dimensions known as "consideration" and "initiating structure." The leadership climate in a building is assessed by using the Leadership Scale of The Illinois Quality Schools' Index. On this instrument, one half of the faculty evaluates the leadership climate (not the building principal) on Scale A. The other half evaluates the leadership climate on Scale B. Next, the faculty fills out the Leadership Behavior Description Questionnaire, which measures their perceptions of their principal's behavior in terms of the two aforementioned dimensions of "consideration" and "initiating structure." I am hypothesizing that there will be a positive correlation between the leadership climate which exists and the degree to which the building principal behaves along the two dimensions of "consideration" and "initiating structure."

My dissertation proposal requires that I visit twenty elementary schools to obtain my data base. After my data base has been established, I must re-visit some selected schools, from the sample, and administer a questionnaire to students in grades three, four, and five. The questionnaire which the students fill out is called the Pupil Control Behavior Form. This instrument measures the degree to which pupils perceive the principal's method of controlling their behavior through humanistic or custodial practices.

I have already administered these instruments to the schools in my district (Valley View Community District 365U) and have found that it takes approximately twenty to twenty-five minutes for the teachers to fill out both forms (about fifteen minutes to fill out the Illinois Quality School Index and five minutes to fill out the LBDQ). I've also found out that it takes third grade students approximately fifteen minutes to fill out the PCB, fourth grade students take approximately ten minutes, and fifth grade students take approximately seven minutes. I have found that I have been well received by the students and faculties of the elementary buildings I have visited. Follow-up calls to the building principals showed that they did not receive any telephone calls from parents, nor any adverse reaction from their faculties. When I administer the instruments to the faculties, I indicate that the information may be used by the building principal to set his own professional development goals in working toward developing an even better working climate. When I've administered the questionnaire to the students, I've indicated that the building principal was interested in making their school the best school in the area and, thus, wanted to know the students' opinions regarding certain practices.

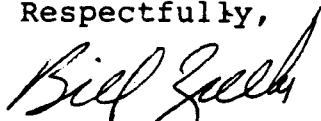
Even though my data collection of work is in the preliminary stages, I have been called back to two elementary schools; one at the request of the faculty, and one at the request of the principal. In each case, I gave a thorough report to the interested parties and the data was well received as being useful and practical. I believe, Dr. Weaver, that the same would be true for your schools in that the instruments do define behaviors and practices which the building principal or faculties can focus in on to enhance their collegial and professional working environment.

I should add that all the information gathered will be kept confidential and that students and teachers fill out their respective questionnaires anonymously. The only identification I request is the grade level and sex of the students and similar information from the teachers. Upon request, I would gladly share the results of my findings with a building principal or their faculty. I feel that my research proposal can effectively be worked into any

building-based school improvement plans and will provide<sup>162</sup>  
helpful information to principals and their faculties.

I would be happy to review my proposal with you, or your administrative counsel, in more detail. Ultimately, I would hope to obtain your approval and support so that I may address your elementary school principals and, hopefully, enlist their voluntary participation in this project.

Respectfully,



Bill Zielke  
Principal

# VALLEY VIEW PUBLIC SCHOOLS

COMMUNITY UNIT DISTRICT 365-U

NORTH VIEW SCHOOL  
51 EAST BRIARCLIFF ROAD  
LANSINGBROOK, ILLINOIS 60439  
PHONE (312) 739-5401

WILLIAM ZIELKE  
PRINCIPAL

*1-714-865-1488*

*called Dr. Willower*

September 9, 1986

*10-1-86*

Dr. Donald J. Willower  
Professor Of Education  
Rackley Building  
The Pennsylvania State University  
University Park, Pennsylvania 16802

*He looked at my form*

*and said I would*

*send out 200 forms*

Dear Dr. Willower:

I am writing a dissertation for an Ed.D., degree from Loyola University of Chicago. As a part of my dissertation, I will be administering approximately two-hundred Pupil Control Behaviour forms to elementary students in grades three, four, and five. I have two questions:

1. How may I obtain two-hundred copies of the PCB form?
2. May I have your permission to use the PCB for my dissertation?

Respectfully,

Bill Zielke  
Principal

*9/12/86*

*Mr Zielke - We routinely grant permission to graduate students in recognized graduate programs to use the PCI or PCB forms. We do not charge anything as long as use is limited to research. Simply duplicate the forms for use.*

*If you let me know what topic you're considering, I might be able to tell you whether it's been done or what studies might be related. We ask anyone using the forms to send us a copy of their results. Good luck. Sincerely,*

# VALLEY VIEW PUBLIC SCHOOLS

COMMUNITY UNIT DISTRICT 365-U

WILLIAM ZIELKE  
PRINCIPAL

NORTH VIEW SCHOOL  
EAST BRIARCLIFF ROAD  
INGBROOK, ILLINOIS 60439  
PHONE (312) 739-5401

September 25, 1986

Dr. Willower  
Professor Of Education  
Rackley Building  
The Pennsylvania State University  
University Park, Pennsylvania 16802

Dear Dr. Willower:

Thank you for allowing me to use the PCB as a part of my dissertation. My topic concerns the relationship of school effectiveness, the principals' leadership, and his pupil control behavior. The State Board Of Education, in Illinois, has developed an assessment procedure to identify effective schools. This instrument is called the Illinois Quality Schools' Index. I will be focusing on one component - that of leadership behavior of the principals. I will survey elementary school districts which have already conducted an effective school assessment. Then, I will administer the Leadership Behavior Description Questionnaire (1957) to the teachers and the PCB to students in grades three, four, and five. Focusing in on the LBDQ, I will identify four schools where the principal rated the highest and four schools where the principal rated the lowest. I will then analyze the LBDQ scores to the results of the Illinois Quality Schools' Index - Leadership Scale, to determine what relationship exists between these two instruments. I will also analyze the relationship between the four highest and lowest scoring principals on the LBDQ to the results of the PCB. I am hypothesizing a positive correlation between the LBDQ and the leadership scale of the Illinois Quality Schools' Index. I am also hypothesizing that there is a positive correlation between the LBDQ and the PCB.

If you know of any research which is similar to my study, I would be most appreciative of any information you could share.

Respectfully,

*Bill Zielke*  
Bill Zielke  
Principal

*9/30/86*  
*Mr Zielke - the closest thing I can recall is Smedley + Willower - Ed Adams Quarterly Vol 17 Fall 1981 and it's not that close. You might want to see if school PCB is related to the Quality Index - good luck - me you can see you can see*

APPENDIX B  
TEST INSTRUMENTS

**LEADER BEHAVIOR DESCRIPTION QUESTIONNAIRE**

**Developed by staff members of  
The Ohio State Leadership Studies**

Name of Leader Being Described \_\_\_\_\_

Name of Group Which He/She Leads \_\_\_\_\_

Your Name \_\_\_\_\_

On the following pages is a list of items that may be used to describe the behavior of your supervisor. Each item describes a specific kind of behavior, but does not ask you to judge whether the behavior is desirable or undesirable. This is not a test of ability. It simply asks you to describe, as accurately as you can, the behavior of your supervisor.

Note: The term, "*group*," as employed in the following items, refers to a department, division, or other unit of organization which is supervised by the person being described.

The term "*members*," refers to all the people in the unit of organization which is supervised by the person being described.

*Published by*

**College of Administrative Science  
The Ohio State University  
Columbus, Ohio 43210**

- a. **READ** each item carefully.
- b. **THINK** about how frequently the leader engages in the behavior described by the item.
- c. **DECIDE** whether he/she always, often, occasionally, seldom or never acts as described by the item.
- d. **DRAW A CIRCLE** around one of the five letters following the item to show the answer you have selected.

A = Always  
B = Often  
C = Occasionally  
D = Seldom  
E = Never

- |  |   |   |   |   |   |
|--|---|---|---|---|---|
| 1. Does personal favors for group members.                             | A | B | C | D | E |
| 2. Makes his/her attitudes clear to the group.                         | A | B | C | D | E |
| 3. Does little things to make it pleasant to be a member of the group. | A | B | C | D | E |
| 4. Tries out his/her new ideas with the group.                         | A | B | C | D | E |
| 5. Acts as the real leader of the group.                               | A | B | C | D | E |
| 6. Is easy to understand.  | A | B | C | D | E |
| 7. Rules with an iron hand.  | A | B | C | D | E |
| 8. Finds time to listen to group members.                              | A | B | C | D | E |
| 9. Criticizes poor work.   | A | B | C | D | E |
| 10. Gives advance notice of changes.                                   | A | B | C | D | E |
| 11. Speaks in a manner not to be questioned.                           | A | B | C | D | E |
| 12. Keeps to himself/herself.  | A | B | C | D | E |
| 13. Looks out for the personal welfare of individual group members.    | A | B | C | D | E |
| 14. Assigns group members to particular tasks.                         | A | B | C | D | E |
| 15. Is the spokesperson of the group.                                  | A | B | C | D | E |
| 16. Schedules the work to be done.                                     | A | B | C | D | E |
| 17. Maintains definite standards of performance.                       | A | B | C | D | E |
| 18. Refuses to explain his/her actions.                                | A | B | C | D | E |



- |  |   |   |   |   |   |
|--|---|---|---|---|---|
| 19. Keeps the group informed.  | A | B | C | D | E |
| 20. Acts without consulting the group.   | A | B | C | D | E |
| 21. Backs up the members in their actions.   | A | B | C | D | E |
| 22. Emphasizes the meeting of deadlines.   | A | B | C | D | E |
| 23. Treats all group members as his/her equals.                                      | A | B | C | D | E |
| 24. Encourages the use of uniform procedures.  | A | B | C | D | E |
| 25. Gets what he/she asks for from his/her superiors.                                | A | B | C | D | E |
| 26. Is willing to make changes.  | A | B | C | D | E |
| 27. Makes sure that his/her part in the organization is understood by group members. | A | B | C | D | E |
| 28. Is friendly and approachable.  | A | B | C | D | E |
| 29. Asks that group members follow standard rules and regulations.                   | A | B | C | D | E |
| 30. Fails to take necessary action.  | A | B | C | D | E |
| 31. Makes group members feel at ease when talking with them.                         | A | B | C | D | E |
| 32. Lets group members know what is expected of them.                                | A | B | C | D | E |
| 33. Speaks as the representative of the group.                                       | A | B | C | D | E |
| 34. Puts suggestions made by the group into operation.                               | A | B | C | D | E |
| 35. Sees to it that group members are working up to capacity.                        | A | B | C | D | E |
| 36. Lets other people take away his/her leadership in the group.                     | A | B | C | D | E |
| 37. Gets his/her superiors to act for the welfare of the group members.              | A | B | C | D | E |
| 38. Gets group approval in important matters before going ahead.                     | A | B | C | D | E |
| 39. Sees to it that the work of group members is coordinated.                        | A | B | C | D | E |
| 40. Keeps the group working together as a team.                                      | A | B | C | D | E |



**ILLINOIS QUALITY SCHOOLS INDEX**  
(Scales A and B)

County				District			

Name of School or District \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ Zip \_\_\_\_\_

- |  |  |
|--|--|
| <input type="checkbox"/> Board Member  | <input type="checkbox"/> Parent                        |
| <input type="checkbox"/> Administrator | <input type="checkbox"/> Community Member (non-parent) |
| <input type="checkbox"/> Teacher       | <input type="checkbox"/> Student                       |
| <input type="checkbox"/> Other         |  |

**CHARACTERISTIC:**

**LEADERSHIP**

Few things in school just happen. A person or a group of people plan and cause things to happen. Usually this is an energetic, creative person with a dynamic, almost charismatic personality. A leader sees a need, assumes responsibility, and takes action. A leader decides what tasks need to be done and how to do them. Then a leader organizes the work, directs it, and inspires others to help. Leadership in a quality school can come from any one or a team of staff members and/or an interested parent.

**SCALE A.** Rate the extent to which your school demonstrates this characteristic by circling the appropriate number from a column below.

**SCALE B.** Rate the importance of this characteristic to quality schooling by circling the appropriate number from a column below.

**School personnel show leadership qualities by:**

CODE	ITEMS	SCALE A						SCALE B						
		UNDECIDED	NONE	VERY LITTLE	LITTLE	SOME	CONSIDERABLE	VERY GREAT	NONE	VERY LITTLE	LITTLE	SOME	CONSIDERABLE	VERY GREAT
0117	Finishing tasks that are started.	0	1	2	3	4	5	6	1	2	3	4	5	6
0118	Believing in their own ability and that of others.	0	1	2	3	4	5	6	1	2	3	4	5	6
0119	Taking care of their own and the students' needs.	0	1	2	3	4	5	6	1	2	3	4	5	6
0120	Evaluating each other.	0	1	2	3	4	5	6	1	2	3	4	5	6
0121	Showing concern for self-growth and for the growth of others, both staff and students.	0	1	2	3	4	5	6	1	2	3	4	5	6
0122	Conferring regularly with each other.	0	1	2	3	4	5	6	1	2	3	4	5	6
0123	Talking to parents often.	0	1	2	3	4	5	6	1	2	3	4	5	6
0124	Involving students and parents in relevant decisions.	0	1	2	3	4	5	6	1	2	3	4	5	6
0125	Being ready to help students outside of class time.	0	1	2	3	4	5	6	1	2	3	4	5	6
0126	Giving positive reinforcement for students' achievement and learning.	0	1	2	3	4	5	6	1	2	3	4	5	6
0127	Getting along well with a variety of people.	0	1	2	3	4	5	6	1	2	3	4	5	6
0128	Using resource materials from all available sources.	0	1	2	3	4	5	6	1	2	3	4	5	6
0129	Knowing about the findings of current instructional research.	0	1	2	3	4	5	6	1	2	3	4	5	6
0130	Sharing findings of current research with other staff members.	0	1	2	3	4	5	6	1	2	3	4	5	6

## FORM PCB

INFORMATION: On the next page are some sentences which tell about some things your principal may do. Next to each sentence there are five boxes. These boxes describe how often your principal may do the thing the sentence talks about. You are to place an X in the box following each sentence which you feel best describes your principal. To help you make the required choice think of the words "My Principal" before reading each sentence. There are no wrong answers: What you think and what your friends think may not be the same.

Let us go through an example so that you are sure of what you are supposed to do.

"My principal...."

	Always	Often	Sometimes	Seldom	Never
Tells students when their work is not good					

If you think your principal never does what the sentence says, you should place an X under the word "Never." But if you think your principal does this sometimes, you should place an X under the word "Sometimes." Please remember, for each sentence you may choose any one of the words which you feel best describes your principal.

"My principal...."	Always	Often	Sometimes	Seldom	Never
1. Punishes students.					
2. Is cheerful and pleasant with students.					
3. Gets upset if students are noisy.					
4. Gives students freedom.					
5. Is friendly with students.					
6. Speaks harshly to students.					
7. Says nice things to students.					
8. Is easy for students to talk with.					
9. Is strict with students.					
10. Smiles when students are around.					
11. Listens to students' ideas.					
12. Threatens to punish students.					
13. Lets students decide things.					
14. Treats students as if they are as good as adults in school.					
15. Is "mean" to students.					
16. Finds time to listen to students' problems.					
17. Is kind and considerate to students.					
18. Gets angry at students.					
19. Asks for students' opinions.					
20. Is "bossy" with students.					

The dissertation submitted by William Zielke has been read and approved the following committee:

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The final copies have been examined by the director of the dissertation and the signature which appears below verifies the fact that any necessary changes have been incorporated and that the dissertation is now given final approval by the Committee with reference to content and form

The dissertation is therefore accepted in partial fulfillment of the requirements for the degree of Doctor of Education.

April 3, 1989  
Date

  
Director's Signature