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A STUDY OF MASSACHUSETTS ELEMENTARY PRINCIPALS' KNOWLEDGE AND ATTITUDES TOWARD THEIR LEADERSHIP ROLE IN BUILDING BASED CHANGE

A Dissertation Presented

by

LINDA E. DRISCOLL

Submitted to the Graduate School of the
University of Massachusetts Amherst in partial fulfillment
of the requirements for the degree of

DOCTOR OF EDUCATION

February 1996

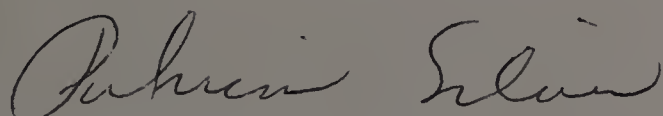School of Education

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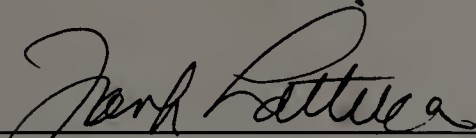A Dissertation presented

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ACKNOWLEDGMENTS

ABSTRACT

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AND ATTITUDES TOWARD THEIR LEADERSHIP ROLE IN BUILDING
BASED CHANGE

FEBRUARY 1996

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Principals are assuming more responsibility and are
becoming accountable to a greater extent for the success of
students. This has become particularly the case in
Massachusetts since passage of the Education Reform Act of
1993 which expanded the principal's role and powers at the
building level. Knowledge of how change can be led in the
elementary building is an essential skill for principals.

The purpose of this research was to study
Massachusetts elementary principals' knowledge and
attitudes regarding change in educational settings, adults'
response to change, leadership style, and building climate
issues. This information was compared to research
regarding how change is effectively led in schools. It was
also studied in regard to several demographic indicators
such as gender, size of school and community, educational
background, and years of experience.

To gather this information, a random sample of
elementary principals in Massachusetts was stratified by

gender and size of community and then surveyed using an instrument composed of a five-point Likert scale.

The results indicated that elementary principals in Massachusetts describe their leadership style as primarily collaborative. The Directive model of leadership was rejected. Their knowledge and attitudes toward change in schools indicates a thorough understanding of change principles, adult learning styles, and life cycle issues. They see little difference between working with men and women and differently experienced staff. They understand that the principal's role in this process is essential and take much responsibility for the success of their schools. The skills of empowerment of staff, consensus building, participatory decision making, vision and goal setting, and creating a professional and stimulating climate in their buildings are all valued.

Male and female principals differed in regards to age and experience, with female principals being three years younger and having more teaching yet less administrative experience. There were few areas of differences in leadership style between the genders. Women ranked coaching, modeling, and empowering staff higher than men. Men ranked consensus making and managerial skills higher.

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CHAPTER I

THE PROBLEM

Introduction

The statement "Schools are undergoing great change" could have been heard at just about any time in the historical context of education in the United States. Many innovations have been investigated and applied in classrooms in the hopes of improving educational offerings for students. Included in these have been: Open classrooms, Hands-on individually programmed learning, "New" math, Team Teaching, Theme based units, Heterogeneous vs. Homogeneous grouping, Whole Language approach to reading, Cooperative Learning, Constructivist math, Student directed learning, Integrated curriculum, Multiple intelligences, Inclusion, and others less memorable.

Sources vary for the impetus for these changes in instruction and management. Included are such dynamics as: changing demographics and family structure, society's vocational needs, educational research, government initiatives and mandates, budgetary constraints, and an ever-evolving student population.

Managing this change and evolution can be a very challenging and complex task for educational leaders. It requires knowledge in such areas as: change theory, adult learning styles and psychological development, leadership

models, and creating a culture conducive to growth and development.

At the building level much of the responsibility for stewarding this change goes to the principal. It is his/her role to communicate vision, define purposes, and assure outcomes. It is therefore very important that principals have a sufficient knowledge base and the skills necessary to manage the many and complex tasks involved in change. This knowledge base, however, must include a good balance of the theoretical, practical, and human.

Background

Leadership styles in education have been evolving in recent years from a more hierarchal, top-down model, more commonly called Instructional leadership, to one which embraces the concept of transformational leadership. In this approach, the administrator's role is one that involves articulating a strong vision, creating a school culture of shared leadership and collegiality, encouraging staff growth and development, and creating an environment which fosters exploration, human satisfaction, and responsibility for solving problems. This concept of strong school culture stewarded by a versatile and skillful leader is explored in the recent work of Fullan (1985, 1991, 1992), Saphier and King (1985), Leithwood (1986, 1990, 1992, 1994), and Sergiovanni (1992).

Strategies and skills used by transformational leaders would have a principal visiting classrooms often, involving teachers in important decision making, sharing responsibility for improvement, active listening, consensus building, collaborating on vision, goals, and professional and moral authority. Included in the term is the word "transform," therefore an orientation to change is implicit. This change, however, is to empower followers by raising their needs perspectives and by providing opportunities for them to develop their capabilities. A Transformational leader, therefore, must be well versed in understanding what motivates people to strive for excellence and how to facilitate such growth.

Transformational Leadership, although being most recently investigated in school settings, actually was developed by James MacGregor Burns in 1978 and later extended by Bernard Bass. Their studies involved political leaders, army officers, and business executives. These studies of "extraordinary leaders" led to the belief that Transformational leaders are able to alter their environments (Kirby, Paradise, & King, 1992).

This emerging style is in contrast to earlier models of principals as bosses and managers. Hierarchal models adapted from business and top down methods of operation have not been effective in the educational setting. Leithwood (1992) points out that even business has moved away from a Type A organization where workers had little or

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no input to the Type Z organization which emphasizes participative decision making. The Rand Study (1974, 1975), often referred to as the "Change Agent Study," illustrated to us that the principal is most important in facilitating change in his/her building and that these changes were not found to be through directives or mandates, but through skillful planning, encouragement, and good leadership which validated teacher input.

Work done by Deal and Kennedy (1982) and Senge (1990) using business models also supports leadership models which encourage participation, strong cultures, and shared vision. This work is being adapted to school settings to create cultures where change focuses on the whole system and where learning organizations can thrive.

Another model of leadership which also contains much useful knowledge is the work done by Hersey and Blanchard (1977) and called Situational leadership. By matching a leadership style to a worker situation and need, a leader is more able to cause movement toward goals. Its focus, however, is more leader controlled than Transformational leadership.

Transactional leadership is more of a hierarchal style as it relies much upon external incentives and rewards instead of intrinsic ones. Leaders set the goals and rewards and followers often only do what is expected of them.

Educational Leadership relies much upon outside motivation for teachers and is more top-down in its procedures. The principal here is seen as an expert and is in charge of seeing that instruction improves by supervising and evaluating teachers.

Of the differing leadership models, Educational, Transactional, Situational, Hierarchal, and Transformational, the one that involves and empowers teachers the most appears to be the transformational style.

For a principal to be as effective as possible in his role as Transformational leader, it is important that along with a knowledge base that includes change theories and leadership styles, an understanding of the psychological concerns and needs of adults as they participate in the change process be included in the repertoire. The work of Maslow (1978), in regard to psychological states, and McKibbin and Joyce (1980, 1982), who researched the theory as it applies to teacher growth, is relevant to this area of expertise for an administrator. David Hopkins (1990), in his study regarding changing school culture through staff development, further covers this ground by discovering that the variable of a strong school climate (open and democratic) coupled with a healthy psychological state, promoted the most individual growth of teachers. Teachers' needs and concerns regarding an innovation is another point which should not be missed by an astute administrator. The work of Gene Hall (1980), concerning

the Concerns-based Adoption model of staff development adds an essential dynamic to managing change at the building level.

An understanding of life cycle issues will provide concerned administrators with the ability to understand and use to the advantage of a school the expertise, energies, and desires of teachers at differing levels of their career. The research done by Judith Arin-Krupp (1987) and Kenneth Leithwood (1992) as it relates specifically to school personnel is particularly useful in tracking the needs and motivations of teachers as they move through their careers. Other theorists such as Erikson (1962) and Levinson (1978) investigate adult development and transformations in more general terms.

Effective leaders need to develop a wide knowledge base of information regarding leadership style and skills, how change occurs in buildings, what climate nurtures change, and how people at varying phases in their life's journey grow and develop. Leading school improvement and reform is an extremely challenging and complex task involving a very precious population, the children in our schools.

Statement of the Problem

Given the many changes that schools must manage through such mandates as the Massachusetts Education Reform Act of 1993, elementary principals must be knowledgeable of

the theory and human dynamic of change as well as skillful leadership models. This dissertation will examine the knowledge base and attitudes of elementary principals in Massachusetts toward change and their leadership role at the building level.

Purpose of the Study

The purpose of this research is to assess the knowledge base of elementary principals in regard to building based change. In particular, their knowledge of change theory, leadership styles, adult growth needs and development, and building climate will be examined and contrasted with what research has discovered to cause effective change in the educational setting.

The attributes of a Transformational leader (collaborative planning, valuing of school community and culture, shared leadership, and encouragement of staff growth) will be the primary model of comparison. Differences in attitudes and knowledge will also be examined in regard to gender and size of community.

Significance

The role of principal in Massachusetts has changed significantly since the passage of the Education Reform Act of 1993. Responsibilities for the administration and success of individual schools have increased, with the principal becoming more accountable for budget, curriculum,

student achievement, staff development, hiring and firing, and public relations. The skills needed to lead schools in this reform movement are many and more taxing than previously, when superintendents and school board assumed many of these tasks. That principals be aware of and knowledgeable about effective leadership skills is essential to the success of a good deal of the reform's goals.

Therefore, to have an indication of current knowledge and attitudes toward how elementary principals in Massachusetts view change in their individual buildings can be most useful in determining the kind of training that would be pertinent to add to a principal's repertoire of knowledge and skills. It is also important to investigate the current status of principals' knowledge of these skills and how it compares to what research has indicated is effective. This knowledge could be useful in prioritizing those areas of study and training to be included in state-wide professional improvement training for principals.

Definition of Terms

Certain terms appear throughout this dissertation. Their definitions follow:

Building Based Change: Those changes, either internally or externally (mandated) driven which are managed and implemented at the building level.

Massachusetts Education Reform Act of 1993:
Comprehensive School reform law passed by the legislation
in June of 1993. This wide-ranging act delegated to
principals many responsibilities at the building level in
regard to making decisions around hiring and firing of
staff, managing their building budgets, and improving
curriculum and instruction.

Life Cycle Issues: Those areas of life growth which
can impact on how an adult responds to change. Some are:
age, gender, work experience, psychological state, and
developmental needs.

School Climate: The general working atmosphere of a
school building. Such areas as collegiality (teachers
working together toward professional goals and visions),
conviviality (staff enjoying each other's company), and
power issues (are teachers empowered and is the building
democratic or hierarchal?) are included in this term.

Leadership Styles: Several of the styles described in
this document are: Hierarchal, a style where management
begins at the top or principals and flows down to teachers;
Instructional, where the principal is seen as the authority
when it comes to all aspects of education;
Transformational, where the principal's role is more
facilitative and teachers are involved in many of the
decisions of the building; Transactional, where external
incentives and rewards are used to encourage teacher
improvement and involvement; and Situational, where

principals match a particular leadership style with a corresponding fellowship style.

Elementary principal: For this dissertation, the leader of a building which contains a population of children ranging from kindergarten through grade six.

Delimitations of the Study

Upon completion of the study, several limitations were identified by the researcher. Since this was a self reporting study, data was based upon the individuals' perceptions. Their own perceptions may have been influenced by a desire to aspire to a certain type of leadership. It is difficult to determine if these responses reflected the principals current leadership style or their aspirations. According to Canary and Seibold (1984), "self reports are biased towards normative expectations" (p. 13). Surveying staff would have given more credibility to the study. Only one respondent considered himself directive in leadership style. Perhaps a different wording of that style or better definitions of the options might have resulted in more accurate responses.

Organization of the Thesis

Chapter II of this dissertation presents a review of the literature in regard to the areas of: change as it relates to school settings; life cycle issues of adults, particularly in educational settings; and leadership styles

and building climate. In particular, the literature review investigates those areas of expertise useful for a principal to have as he/she leads change project at the building level. It is the purpose of the review to look at a representational sample of these issues.

Chapter III describes the methodology of this dissertation. It presents the research questions, construction and piloting of the survey, the procedures and limitations of the survey, the design, sample selection, and data analysis.

Chapter IV presents and analyzes the results of the survey. It includes the statistical analysis and discussion of the results as they relate to the research questions.

Chapter V summarizes the information and discusses conclusions determined by the data. Recommendations are made for future research useful for improving the effectiveness of elementary principals as school leaders.

CHAPTER II

LITERATURE REVIEW

Introduction

This chapter reviews selected literature concerning a
leader's role in change in schools. This research is
organized around three areas of investigation. The first
area studies work involved with the change process and how
it relates in particular to schools. The second category
looks at research concerning how adults respond to change,
and the third section investigates leadership styles and
building climate.

The Change Process as it Relates to School

In every facet of our lives we are confronted with
change. Our personal lives, work situations, and the
political arena are a few places where we must manage
change. Schools deal with a number of internal and
external forces which must be understood and managed for
schools to grow and improve. According to Goldring and
Rallis (1993), several forces affect the way principals
must lead and manage their schools: (A) Teacher's
responsibilities are extending beyond their classrooms and
students. It is expected that teachers will become more
involved in decisions in the school, and leaders must
possess the skills to facilitate this process. (B) Student
bodies are becoming more diverse. To meet the needs of

students of differing cultural, racial, ethnic, social, and economic backgrounds, educators must constantly shift their frame of reference. (C) Parents are more vocal in schools. They seek greater involvement, and their involvement with their children's schooling is advantageous. Therefore, a principal must address community and parental issues. (D) The social, technological, and communal contexts of schools are more complex. Schools must help to educate students who will be successful in the community and the world at large. Much is demanded of schools from employees and the community. (E) Finally, states are becoming more involved in Educational Reform and Standards. Principals must balance these mandated needs while supporting the local initiatives of staff, parents, and the community.

Several studies were reviewed in regard to change projects in the school setting. A particular focus of this review was the leadership role in this process. One of the most comprehensive studies concerning change in schools was the Rand Study (Berman & McLaughlin, vol. I-V, 1974, 75), often referred to as the "Change Agent Study." During this four-year study sponsored by the United States Department of Education, many aspects of initiating and incorporating change in schools were examined. Distinct stages of the life of an innovative project were hypothesized. These stages were called: Initiation, the planning phase; Implementation, when plans are translated into practice; and incorporation, when the project becomes part of the

routine of the school either in whole or part. At each one
of these stages, effective leadership practices are
essential. The Rand study determined that the stage of
initiation was spurred by the presence of a good idea, the
availability of federal funds, local needs, and the
incentives of the individual actors. However, projects
which simply came into existence because money was
available ultimately saw little change whereas those
projects initiated because of real identified needs
generated stronger commitment and thus greater success.
During the process of initiation, one of the most
significant findings indicated that, no matter what the
original motivation, if there was no local support and
involvement from the onset, success was diminished. These
findings are of great use to a principal involved in change
for, as the Rand study indicates, active involvement and
belief in a project by teachers from the onset is
essential.

During the implementation phase of a project many
roads can be taken. The project may become mutually
adapted by the teachers and the school, not be implemented
at all, or implemented, yet no real change made by the
participants. The motivations of participants, whether
they see the change as problem solving, and the scope and
substance of the change all bear upon the success of
implementation. Often, as part of the process, original
goals were amended and the project not fully implemented.

A principal needs to be knowledgeable and flexible at this point to oversee the project through to implementation.

At the incorporation phase, it is important to know that, at the classroom level, projects which replaced other practices were more successful than those that added to previously existing methodologies. Also, change projects with an emphasis on practical classroom issues, reliance on local experts, strong district support, and a base grounded in problem solving versus opportunistic goals, were more likely to be successful. Although funding is important and seemed the impetus to start a project, other factors had much more impact as to whether a project was incorporated into the routines of a school. They were such factors as: consonance (goals and value of the project and participants being in agreement), frequent and regular meetings, staff training, local material development, and the creation of a critical mass of participants committed to the project.

It is essential that the environment be supportive and receptive to encourage teachers to expend the extra effort involved in creating change. Hostile environments do not foster change, but neither do indifferent ones.

The findings of the Rand study give much valuable information to principals engaged in change projects. The heart of the evidence indicates that change in school buildings is very much influenced by: (A) the Principal, (B) the centrality of the nature of the change, (C) the extent to which the proposed change will solve problems in

the building, (D) the motivations of the staff, (E) the ability of the training to be hands on and local, and (F) the extent to which the changes can be mutually adapted by the individual organization. Intrinsic motivators and reinforcers are more effective than outside driven ones, and teachers, although motivated by tangible incentives such as money or course credit, generally do not stay involved if the project is not in sync with their values and goals.

This comprehensive study done by the Rand corporation sets a framework for understanding change in schools. The findings can be most useful to principals as they work to assist in the transformation of their schools.

A reconsideration of this study done by one of its authors, Milbrey W. McLaughlin (1990), reinforces many of the initial findings. "Change continues to be a problem of the smallest unit" (p. 12). Local capacity and motivation still are very important, support of school leaders is essential, and variability of implementation as it is adapted locally is still a central finding.

McLaughlin did find, however, that "the study overemphasized the importance of initial motivation" (p. 13). It is now felt that teachers who were initially opposed to change can become convinced after they have practiced the innovation. This revisited finding is a hopeful one for principals working with initially resistant teachers.

In the original study it was found that outside consultants were not generally effective and that local efforts were more successful. Although this finding is generally still the case, McLaughlin (1990) now feels from looking at subsequent research that "We understand now that it is not so much the external quality of outside practices and experts [which] inhibits their effectiveness, but how they interact with the local setting" (p. 14). Therefore, although local focus is still of utmost importance, externally developed programs can be implemented successfully as long as the implementation is adapted to local goals.

A third misunderstanding of the original Rand study assumed that the structure most relevant to teachers was the policy structure. It is felt now that there are many other areas such as professional networks, school departments, and colleagues, whose structures effect teachers much more than federal, state, or local policies.

Some implications from this revisitation emphasize the fact that reform is steady work and that the problems projects hope to address are often chronic not acute. Therefore, "reform needs to be systemic and ongoing" (McLaughlin, 1990, p. 15). Teachers' natural networks need to be encouraged and utilized and administrators must encourage these growth structures which include: collegial relations, open communication, professional growth, shared

mission and school wide goals, and policies which promote improvement both in curriculum and teaching.

Concerns-Based Adoption Model

Looking at change in schools through the lens of the CBAM model (Concerns-Based Adoption Model) (Hall, Wallace, & Dossett, 1973) indicates that the process must be led by a thoughtful leader who has awareness not only of the innovation but the climate of the institution.

Several assumptions underlie the CBAM model of change:

1. Change is a process not an event. It takes time, as long as several years, and incorporates experiences and resources, not singular decisions.

2. Change is made by individuals first and then institutions. Change is not complete until all members of an institution, administrators included, have changed in regard to an innovation. They will need to change according to the various points and phases as they exist in their development.

3. Change is a highly personal experience. Everyone carries with them their own visions, frustrations, and perceptions of the change process. This issue if not addressed can often be the downfall of the change project.

4. Change entails developmental growth in feelings and skills in relation to the innovation. This follows a movement in change programs. It is very important to

realize that as people move through these stages they will have varying degrees of readiness to assimilating the change project.

5. The change facilitator must function in a highly adaptive, systemic, and personalized way if change is to be facilitated most efficiently and effectively for the individuals and for the institution as a whole. Change facilitators must be constantly aware of adjustments that may need to be made in the process due to people issues.

According to this model, the individual moves through seven identifiable stages of concern about the innovation through the lower levels of awareness, informational, and personal, to the higher ones of management, consequence, collaboration, and refocusing. There are also eight levels of use which individuals in a building will have attained over the course of a change project: non-use, orientation, preparation, mechanical use, routine, refinement, integration, and renewal. Levels of concern and usage vary within a building among the individuals engaged in the change process, thus a change facilitator must be constantly assessing the level of needs and use of his/her staff. Following is a description of the Stages of Concern and the Levels of Usage according to the CBAM Model (Hall, Wallace, & Dossett, 1973, 80).

Stages of Concern About the Innovation

6. **Refocusing**: The focus is on more universal benefits from the innovation, including the possibility of major changes or replacement with a more powerful alternative. The individual has definite ideas about alternatives to the proposed or existing norm of the innovation.

5. **Collaboration**: The focus is on coordination and cooperation with others regarding the use of the innovation.

4. **Consequence**: Attention focuses on impact of the innovation and on students in his/her immediate sphere of influence. The focus is on relevance of the innovation for students, evaluation of student outcomes, including performance and competencies, and changes needed to increase student outcomes.

3. **Management**: Attention is focused on the processes and tasks of using the innovation and the best use of the information and resources. Issues related to efficiency, organizing, managing, scheduling, and time demands are utmost.

2. **Personal**: The individual is uncertain about the demands of the innovation, his/her inadequacy to meet those demands, and his/her role with the innovation. This includes his/her role in relation to the reward structure of the organization, decision making and consideration of potential conflicts with existing structures or personal commitment. Financial or status implications of the program for self and colleagues may also be reflected.

1. **Informational**: A general awareness of the innovation and interest in learning more detail about it is indicated. The person seems to be unworried about herself/himself in relation to the innovation. She/he is interested in substantive aspects of the innovation in a selfless manner such as general characteristics, effects, and requirements for use.

0. **Awareness**: Little concern about or involvement with the innovation is indicated. (Hall, p. 52 1980)

Staff involved in a change project will be more intensely involved at varying stages depending upon where they are in the process. Stages 0 through 3 are where one would most likely be when first being introduced to a project. Involvement in the later stages becomes more involved as the project progresses. Moving into those last stages of 5 and 6, however, is unlikely without district or administrative support.

Levels of Use of the Innovation

0. **Nonuse:** State in which the user has little or no knowledge if the innovation, no involvement with the innovation, and is doing nothing towards becoming involved.

I. **Orientation:** State in which the user has recently acquired or is acquiring information about the innovation and/or has recently explored or is exploring its value orientation and its demands upon user and user system.

II. **Preparation:** State in which the user is preparing for first use of the innovation.

III. **Mechanical use:** State in which the user focuses most effort on the short term day to day use of the innovation with little time for reflection. Changes in use are made more to meet use needs than client needs. The user is primarily engaged in a stepwise attempt to master the tasks required to use the innovation, often resulting in disjointed and superficial use.

IVA. **Routine:** State in which use of the innovation is stabilized. Few if any changes are being made in ongoing use. Little preparation or thought is being given to improving innovation use or its consequences.

IVB. **Refinement**: State in which the user varies the use of the innovation to increase the impact on clients within immediate sphere of influence. Variations are based on knowledge of both short and long term consequences for clients.

V. **Integration**: State in which the user is combining own efforts to use the innovation with related activities of colleagues to achieve a collective impact on clients within their common sphere of influence.

VI. **Renewal**: State in which the user reevaluates the quality of use of the innovation, seeks major modification of or alternatives to present innovation to achieve increased impact on clients, examine new developments in the field, and explores new goals for self and the system. (Hall, 1980, p. 55)

It is important to note that the levels of use vary within a building. A school that is very much involved in an innovation may have staff very low on the table in relationship to their degree of implementation. Another important consideration for planners of change to consider is that, in the beginning years of a change project, many people will be at the Mechanical or Routine stage. As a matter of fact, "It appears that roughly 40-50 percent of the users of an innovation in a stratified sample will be at the Routine level" (Hall, 1980, p. 55). Knowledge of this progression can be invaluable to administrators in planning inservice and support activities to encourage and aid growth in the level of use.

Michael Fullan (1991) sees change as a more chaotic process, although he illustrates a model which is similar to the stages of the Rand research (see Figure 1). He

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Initiation <-----> Implementation <------> Continuation <-----> Outcome

Figure 1. A Simplified Overview of the Change Process

includes two way arrows to imply that change is not a
linear process but one that can phase back to previous
stages. This indicates that decisions made at any phases
can be modified and mutually adapted as they evolve.

There are several variables at work during the change
process: the scope of the change, who initiates it, and
the time line. The initiation phase alone could take
several years and the total time to full implementation of
major restructuring efforts can take five to ten years.
The single most important idea arising from the above chart
is that "Change is a process, not an event" (Fullan, 1991
p. 49; Hall, 1980 p. 49).

Whether change occurs or not in a building has much to
do with the initiation process. Hopefully it is because of
the need to improve existing practices with higher quality
ones. Fullan sees that there are eight factors associated
with initiation of a change project. They are:

    1. Existence and Quality of Innovations
    2. Access to Innovations
    3. Advocacy from Central administration
    4. Teacher Advocacy
    5. External Change Agents
    6. Community Pressure/Support/ Apathy
    7. New Policy-Funds (Federal/State/Local)
    8. Problem-Solving and Bureaucratic Orientations

                                        (1991, p. 50.)

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Ideally, however, initiation occurs best when it combines the "three R's of relevance, readiness, and resources" (Fullan, 1991, p. 63). A good administrator needs to be aware of these factors as he/she begins a change project. Many questions should be asked which correspond to the R's of implementation. If the stake holders in change do not perceive the need, feel they have the knowledge, skills, time, or supplies and materials, nor feel the project is compatible with the culture of the school, initiation is not likely to be successful.

The implementation phase of the change process is the means by which the desired outcomes are accomplished. Fullan describes nine critical factors organized into three categories as having an impact on the implementation phase. First are factors related to the Characteristics of change:

1. Has there been a careful consideration of need?

2. Does the project have clarity? Is it clear what the goals are? What exactly should be done differently?

3. Is the project too complex? Is too much being undertaken? What's the balance between "biting off more than you can chew," and "little ventured, nothing gained"?

4. Is the project one of quality and practical application?

The next four factors relate to Local factors affecting implementation:

5. Is there strong district support and follow-up?

6. Does the school board and community value and
    support the changes?

7. Is the principal knowledgeable and involved in
    the process?

8. Is the psychological state, engagement, and
    collegiality of teachers strong in the building?

The last factor deals with external factors.

9. What is the support of government and other
    outside agencies in regards to technical,
    monetary, and policy matters?

> The principal is the person most likely to be in
> a position to shape the organizational conditions
> necessary for success, such as the development of
> shared goals, collaborative work structures and
> climates, and procedures for monitoring results."
> (Fullan, 1991, p. 76)

However, this is not always the case; some teachers
describe their principals as uninvolved and poor problem
solvers (Berman & McLaughlin, 1978; Leithwood & Montgomery,
1986). It is essential that principals involve themselves
intensely at the implementation phase of the innovation,
and that they understand the factors affecting success.

Much support is necessary at the continuation phase if
a program is to become an integral part of the improvement
efforts of a school. Again, the principal is essential.
The principal must maintain the integrity of the project,
find the resources, and see that new staff are trained.

External supports such as district, school committee, and community also have an important affect on the change being maintained. The establishment of policies, a strong principal, and external supports can help to overcome one of the greatest barriers to continuation, staff turnover.

Change is complex, chaotic, and sometimes humiliating. During the implementation phase, we "dip" as Fullan (1990, p. 5) states. We are no longer competent and have to stay the course for mastery and success. Change in schools has its own set of circumstances and obstacles, but there are models and plans to consult. Michael Fullan advises:

> To bring about more effective change, we need to be able to explain not only what causes it but how to influence those causes. To implement programs successfully, we need better implementation plans; to get better implementation plans, we need to know how to change our planning process; to know how to change our planning process, we need to know how to produce better planners and implementers and on and on. Is it any wonder that the planning, doing, and coping with educational change is the "science of muddling through" (Lindblom, 1959)? But it is a *science*. (1991, p. 93)

Life Cycle Issues and Adults' Response to Change

The typical teacher, according to the National Center for Education Statistics (1994), is 42 years of age, the middle adult phase of life. He/She has taught for fifteen years. Fifty-three percent hold Masters degrees. Men and women teachers are about equally represented at the secondary level. In elementary schools, however, the ratio is heavily weighted toward women with 83 percent. Seventy-

six percent of all teachers are married. Eighty-seven percent of teachers are white. Twenty-nine percent of teachers stated that they would certainly choose teaching if they had to do it over again, and thirty percent stated they probably would.

With these above statistics in mind, knowledge of how adults respond to change at various points in their life and career is essential to a principal as he/she plans and manages change in the school. The work of Judith Arin Krupp who, between 1979 and 1986, conducted extensive research with over 750 school systems in the U.S.A. and Canada is valuable information regarding how to motivate teachers in the latter part of their careers.

According to Krupp (1987), teachers perceive the world of students, testing, curriculum, grades, discipline, and professional development differently than they did in their twenties and thirties. For example, teachers who have had their own children focus more on the well-adjusted child than they do on grades, and they express greater understanding of parental constraints. From the data collected for this study, four major themes or tasks in the second half of life were postulated. They are de-illusionment, individuation, career, and family.

De-Illusionment

At this point, people are reevaluating their priorities. This reevaluation takes place regardless of whether or not one's goals have been met. Their question at this point is: "What do I do now?" Although a stressful time, it can result in new freedoms and the valuing of work for its intrinsic rather than extrinsic value. Sometimes this stage can result in dissatisfaction and escape. Some women respond a bit differently to this phase since often they are reentering their profession after years spent in child rearing. It can be exciting for those who are able to work in satisfying professions.

Adults at this age will attend workshops on stress management and the change process. They wish to learn about theories and techniques related to personal growth more than technical "how to" methods of teaching. They need help in seeing options. Such activities as attending professional meetings, visiting other schools, and brainstorming and collegiality are helpful and better received.

Individuation

Adults in this stage of life are questioning their losses and hoping to maintain their successes. They see the aging process as a time of loss (health, hair, physical abilities), and wish to maintain such things as their

professional reputation, health, and relationships. Four
polarities exist during this time.

Young-Old. People addressing this theme need to
integrate their past with their future. They are neither
young nor old and are more of a bridge between the
generations. Recognizing that there is a finite amount of
time, priorities move from more product-orientated to
personal. They begin to think about the importance of
leaving a legacy. Teachers at this stage are interested in
fostering the growth of future generations much like the
phase of generativity in Erikson's developmental work
(Erikson, 1968). Inservice activities for adults in this
stage must not waste time. They must encourage teachers to
have more control over their own professional growth. They
should draw upon the whole person encouraging teachers to
share skills in their lives that may not be school based.

Destructive-Creative. Adults accept the negative
destructive side of their nature as they work through the
tasks of this theme. They realize that they have made
mistakes and have hurt people. This is often unavoidable.
They become more tolerant and understanding.

Those who have accepted their own destructiveness can
become excellent mentor teachers. In this way, they can
meet their own generative needs by helping less experienced
teachers. A person who is aware of his/her own faults and
negativity can be less judgmental in such a relationship.
Adults at this stage, however, have difficulty accepting

critical comments as it drives home their realization of
their imperfections. Supervision of such adults needs to
be very skillful, couching criticism in positive exchanges.

Attached-Separate. These adults need more time to be
alone. They are not the teachers who socialize after work
and chaperon dances. They are more involved with their own
personal world. This need for more privacy is difficult to
provide in many school buildings. However, wherever
possible arranging such space will be beneficial.

Male-Female. The work of this theme sees adults
integrating their nurturing and assertive tendencies. Men
in the first half of their lives often were rewarded for
achievement, ambition, toughness, etc. They received
little reinforcement for their nurturing capabilities. The
opposite case can hold true for women. As men and women
age, they are better able to integrate these two aspects of
their personalities. Women assume more managerial roles
while retaining their nurturing self. For men, however,
their former emphasis on achievement and ambition is
tempered with an incorporation of a more feeling self.
Each gender can come to understand the other more fully.

Women at this stage need to be taken more seriously in
regard to their leadership qualities. They are more
assertive regarding student programming and curriculum and
management of their building. They must be encouraged to
offer and change their ideas. Men, on the other hand,
might wish to be involved in school activities they have

shunned in the past. Counseling and organizing student-based extracurricular activities might be some areas where men might express their nurturing side.

Career

Career begins to have less of a focus in these experienced adult lives. They have the abilities to perform their jobs with less emotional energy on their families and leisure pursuits. Often this is the time when some teachers just wait out the years to retirement. Some teachers modify their goals and continue to perform well and with enthusiasm, while others become on-the-job retirees.

There are women who, because of reentering the profession after many years of child rearing, are new to teaching. They feel enthusiastic and motivated. They often express themselves differently than their peers.

Retirement and the impending fear of financial insecurity can impel these adults to make decisions about their careers that are not personally rewarding. Staff at this phase need to be consulted in regard to their expertise. They should be more actively involved in the planning needs of their workplace. Their years of experience and perspective should be appreciated and utilized. Sometimes, however, nothing works. Some of these staff really don't enjoy teaching and resist

changing. Some attempts to motivate these disenchanted
staff according to Arin Krupp (1987) could be:

1. providing workshops on stress management, dealing with
    change, financial planning, preparing for retirement.

2. linking evaluation to professional development. Staff
    must become involved in some kind of plan to improve
    identified weaknesses.

3. Using financial incentives (lump sum payments) to
    encourage staff to reenter another field.

4. As a last resort, make life difficult for those
    impossible teachers through scheduling and other work
    related activities in hopes that they will move on.

Family

The second half of life transforms the family. Roles
change, parents age, children grow up, and spouses' needs
change. Some adults handle these changes better than
others. Divorces can be high and responsibilities
heightened by dependent parent's needs. All these changes
can cause stress and disequilibrium.

People need to be able to discuss these problems and
changes. Life cannot be left on the school's doorstep. A
school climate that legitimizes these concerns can do much
to help staff adjust to these issues.

The importance of Arin Krupp's work will lead
principals to have a more in-depth understanding of how to
address the varying developmental needs of staff.

Strategies which work with a younger faculty member may not work as well with a more mature one and vice-versa. It is an administrator's challenge to elicit from people the best they have to give. That "best" varies by individual, yet everyone has it.

Arin Krupp's work focuses specifically on life cycle issues in respect to school life. However, the work of Erik Erikson (1962), Kenneth Leithwood (1986,90), Daniel Levinson (1978), Abraham Maslow (1968), Gail Sheehy (1974, 1981), and Carol Gilligan (1982) investigate adult development from a variety of perspectives.

Erikson's theory regards human development as arising from certain conflicts or issues needing to be resolved at a particular time. However, these issues continue to be reworked as life progresses. In particular the phases of intimacy vs. isolation, generativity vs. self absorption, and integrity vs. despair (see Figure 2) are the adult phases which need to be considered. Young adults (age 20 to 40) are involved with the tasks of intimacy when relationships are sought and built. The unsuccessful attempts of this phase can lead to isolation. The ages between roughly 40 to 60 deal with the issues of generativity, or guiding those younger and less experienced, or falling into self absorption. Those after the age of 60 to 65 work on coming to terms with life's past experiences. Those whose careers have not been

	A. INFANCY	B. EARLY CHILDHOOD	C. PLAY AGE	D. SCHOOL AGE	E. ADOLESCENCE	F. YOUNG ADULTHOOD	G. MATURITY	H. OLD AGE
1	Trust vs. Mistrust: HOPE							
2		Autonomy vs. Shame, Doubt: WILL						
3			Initiative vs. Guilt: PURPOSE					
4				Industry vs. Inferiority: COMPETENCE				
5					Identity vs. Identity Confusion: FIDELITY			
6						Intimacy vs. Isolation: LOVE		
7							Generativity vs. Self-Absorption: CARE	
8								Integrity vs. Despair, Disgust: WISDOM

(From Erickson, 1976; In Levine, 1987, p. 8)

Figure 2. Erik Erickson, THE LIFE PHASES

rewarding can be despairing and disinterested, while those who have reaped joy and fulfillment can share real wisdom with their younger colleagues.

Daniel Levinson's work focuses on a life course which focuses on key life tasks which initiate growth. He sees the life course as consisting of four eras: Childhood and Adolescence, Early Adulthood, Middle Adulthood, and Later Adulthood with each era lasting approximately 25 years (See Figure 3 for a breakdown of the Early Adulthood and Middle Adulthood periods.)

The tasks of these times in life, moving from forming dreams, seeking mentor relationships, forming relationships, establishing oneself, modifying life dreams, and leaving a legacy, form a developmental sequence very much in sync with Erikson's work. This longitudinal work by Levinson, however, was of men. Work done by Sheehy (1974, 1981) and Gilligan (1982) suggests that women do not move through these cycles the same as men.

It is most important to avoid stereotypes when discussing how men and women move through career cycles. Yet there are differences. Gail Sheehy, in her work, discusses how women experience this development from a more internal perspective and grapple with outside constraints and family obligations. This is particularly true in the younger adult years. Later, after children have grown, they feel more ready and eager to reenter their careers with enthusiasm.

ERA	PERIOD	AGE RANGE	TASKS		KEY VARIABLES
EARLY ADULTHOOD	The Early Adult Transition	17-22	To start moving out of the pre-adult world	1.	Forming a Dream and giving it a place in the life structure
				2.	Forming Mentor relationships
				3.	Forming an occupation
	The First Adult Like Structure	22-28	To fashion a provisional structure that provides a workable link between the valued self and the adult society (making and testing a variety of initial choices)	4.	Forming love relationships: marriage and family
CRUCIAL SHIFT	The Age Thirty Transition	28-33	To change the first life structure; to make new choices or reaffirm old ones	1.	Breaking down of Mentor relationships
				2.	Establishing oneself as a Mentor
MIDDLE ADULTHOOD	The Second Adult Life Structure	33-40	To establish a niche in society		
	a. Early Settling Down	33-36	To progress and advance		
	b. Becoming One's Own Man (BOOM)	36-40	To accomplish goals, advance on ladder, gain greater measure of authority	1.	Modifying Dream
	Mid-Life Transition	40-45	To terminate Early Adulthood		
			To take steps to initiate Middle Adulthood	2.	Accepting one's own mortality
			To deal with the polarities that are sources of deep divisions in one's life		
	Entering Middle Adulthood; Building a new life structure	45-	To find a better balance between the needs of the self and the needs of society	3.	Building a legacy

(Compiled from Levinson, 1978; in Levine, 1987, p. 10)

Figure 3. Periods in the Adult Development of Men, Early and Middle Adulthood

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Carol Gilligan (1982) also sees women being driven, often by their connection to relationships. Women's moral judgements are grounded in connections to others. They "see a world comprised of relationships rather than of people standing alone, a world that coheres through human connection rather than a system of rules, . . ." (p. 29). This emphasis on relationships by women is in contrast to Levinson's work:

> From the array of human experience, Levinson's choice is the same as Virgil's charting the progress of adult development as an arduous struggle toward a glorious destiny. Like Pious Aneas on his way to found Rome, the men in Levinson's study steady their lives by their devotion to realizing their dream, measuring their progress in terms of their distance from the shores of its promised success. Thus in the stories that Levinson recounts, relationships, whatever their particular intensity, play a relatively subordinate role in the individual drama of adult development. (p. 152)

Levinson's work is useful in understanding adult development. However, the absence of women in the study and the findings regarding men's lower emphasis upon the importance of relationships, change the interpretations as we look at women's needs and skills as adults in their career development. If indeed women's identity is often defined in the context of their relationships, then their focus as professionals and their method of growth will be more connected with human interactions than those of men. Since the greater majority of elementary teachers are women, these developmental issues as they relate to gender are important to incorporate into the planning of staff

development and leadership style. "Will women teachers
feel restless or dissatisfied with teaching at midlife?
Might this be a time when women teachers are ready to move
outside the classroom and take on administrative or non-
teaching responsibility?" (Levine, 1987).

Leithwood (1990) summarizes three dimensions of
teacher development that a principal can influence in Table
1.

As a teacher moves through the six levels of
Professional expertise, he/she becomes more skilled and
confident. Stages one through four describe the
acquisition of classroom skills and expertise, with stages
five and six dealing with the teacher as a mentor and
contributor to school improvement.

The stages of Psychological development are a
synthesis of the work done by Loevinger's (1966) seven-
stage theory of ego development, Kohlberg's (1970) six-
stage theory of moral development, and Hunt and associates'
(1966) four-stage theory of conceptual development. These
four stages describe teachers at stage one being those
whose classes are structured and encouraging of rote
learning to more conforming and conventional at stage two.
Stage three describes teachers who are more self-aware
leading classes where an appreciation for differences and
good interpersonal communication are the norm. At the
highest stage, teachers are more inner directed who lead

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Table 1

Interrelated Dimensions of Teacher Development

	6 participating in broad range of educational decisions at all levels	
---->	**5** contributing to the growth of colleagues' instructional expertise	**5** <---- preparing for retirement: focusing
4 autonomous/ interdependent, principled, integrated	**4** acquiring instructional expertise	**4** reaching a professional plateau
3 conscientious, moral, ----> conditional dependence	**3** expanding one's instructional flexibility	**3** <---- new challenges and concerns
2 conformist, moral, negative, independence	**2** becoming competent in the basic skills of instruction	**2** stabilizing; developing mature commitment
1 self-protective, pre-moral, ----> unilateral dependence	**1** developing survival skills	**1** <---- launching the career
PSYCHOLOGICAL DEVELOPMENT (EGO, MORAL CONCEPTUAL)	DEVELOPMENT OF PROFESSIONAL EXPERTISE	CAREER CYCLE DEVELOPMENT

classrooms with an emphasis on meaningful learning, creativity, and flexibility.

The third component of this model describes career cycle development. The basis of this dimension came from the work of Huberman (1988), Sikes, Measor, and Woods (1985), and Levinson et al. (1978). As a teacher begins to launch his/her career, s/he spends several years dealing with acquiring skills to discipline and motivate students. Such a time can be painful and isolating as well as exciting and filled with enthusiasm. As the teaching career develops, a stabilization phase occurs. Teachers feel more confident, have mastered teaching and classroom management techniques, and act more independently. Around the ages of 30 to 40, teachers have substantial experience. They look to expand their professional focus or sometimes seek administrative or supervisory positions. For teachers who have not reached a sense of competence and love of teaching, this can sometimes be the point when they look to alternative careers. When a teacher has reached phase four, between the ages of 40 to 55, a plateau is often reached where s/he reappraises success in all facets of life. Teachers at this point may fall into two groups. One comprises the teachers who settle into enjoying teaching and become the backbone of the school. The other group may become bitter and cynical and not contribute much to the advancement of the school. In the final stage of "Preparing for Retirement," teachers can focus on being the

specialists in a particular area of teaching, focus on student learning, and share this expertise. On the other hand, teachers who have not gained satisfaction from their teaching can become disenchanted and hostile toward change. They are tired and can cause much frustration to others.

In this synthesis model, Leithwood illustrates the interaction of a teacher's psychological state and career cycle in regards to teacher development and ability to change. Although there is not a direct correspondence between these three dimensions and much variety between individuals, the synthesis of past research into this model is most useful for principals in understanding how to develop change projects and motivate staff.

Work done by researchers such as McKibbin and Joyce (1980, 1982) contrasts the psychological state of teachers as described by Maslow's (1968) hierarchy of needs. They found that there was a high correlation between those teachers with a high psychological state rating and levels of implementation of innovative practices. The Psychological states are described as following:

1. **Orientation toward basic physical needs**
   economic security
   home maintenance
   management of physical existence

2. **Psychological Safety**
   predictable future
   concerns of psychological danger

3. **Love and Belonging**
   relatively happy secure
   accepted

4. **Achievement**
   feeling considerable self esteem
   believe they are valuable competent people

5. **Self Actualization**
   expand horizons
   new possibilities of growth
   seek challenge and wish to challenge the present
   order
   optimistic (McKibbin & Joyce, 1980, pp. 250-251)

The implications of McKibbin and Joyce's study (1980) are important to principals planning change projects in their schools. For example, teachers who are operating at levels one and two are going to need more direct support and less open-ended training. Staff who are operating at level five are going to need to be stimulated with satisfying and growth-producing activities to keep them motivated and connected with the school.

In recent years much emphasis has been put upon teachers designing strategies which will address the varying developmental needs and learning styles of students. A knowledgeable principal should be as well versed in the developmental needs and learning styles of the adults with whom she/he leads and collaborates. This knowledge will enable a principal to design and implement projects for teachers to fulfill to their greatest potential.

Leadership Style and Building Climate

A principal who has the knowledge of how change occurs and how adults respond to change has a wealth of knowledge

essential for effective leadership. How to lead and how to
create a climate where teachers are inspired, motivated,
and empowered are indispensable skills. David Hopkins
(1990) learned that in schools where innovations were
adopted at a high level, the leadership style of principals
was highly democratic, supportive, and encouraging of
teachers. High degrees of internal communication and
staff collaboration were also noted in these schools. The
leadership style of the principal has evolved through
several models through the years and the democratic,
collaborative model was not always as valued.

The directive, autocratic, hierarchal method of
leadership saw leaders both in business and school as "in
charge," "the boss," and the "decision maker." Models of
leadership in school are now described as more
participatory, collaborative, empowering, trusting, and
caring (Fullan, 1991,92; Goldring & Rallis, 1993; Hopkins,
1990; Kirby, Paradise, & King, 1992: Leithwood, 1992;
Saphier, 1985; Senge, 1990,95; Sergiovanni, 1992). Kenneth
Leithwood (1992), in setting the background for
Transformational Leadership, states:

> . . . the restructuring of schools is analogous
> to the groundshift in large business and
> industries begun more than a decade ago from Type
> A toward Type Z organizations (Ouchi 1981). Type
> A organizations, very useful for some situations
> and tasks, centralize control and maintain
> differences in status between workers and
> managers and among levels of management; they
> also rely on top-down decision processes. Such
> organizations, which include the traditional
> school, are based on "competitive" (Roberts,
> 1986) or "top down" (Dunlap & Goldman, 1991)

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power. This is the power to control - to control
the selection of new employees, the allocation of
resources, and the focus for professional
development. In contrast, Type Z organizations
rely on strong cultures to influence employees'
directions and reduce differences in the status
of organizational members. Type Z organizations
emphasize participative decision making as much
as possible. They are based on a radically
different form of power manifested *through* other
people, not *over* other people. (pp. 8, 9)

However as this development in leadership style in

schools moved along a continuum with a very directive

hierarchal style at one end and transformational on the

other, there were many years when a principal was described

as and encouraged to be an Instructional Leader. With this

model, a principal was determined to be the expert and know

the best methods of instruction and curriculum. He or she

would guarantee the success of a school by the supervision

of teachers and control of the curriculum. Implicit in

this type of leadership are the concepts that the principal

was an excellent teacher and is knowledgeable of all recent

pedagogical and curricula developments. He/She is the

authority in these matters. This, however, is not nor

could it realistically always be the case especially in all

the varied areas of education. The principals should be,

according to Poplin (1992, pp. 10, 11), "the servants of

collective vision, as well as editors, cheerleaders,

problem solvers, and resource finders. . . . This new role

places administrators both at the top and bottom of the

hierarchy." There are parts of the Instructional Leader

role that are most important. A good educational leader

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should be as well informed as possible concerning the
advances of educational research in regards to curriculum
improvements; and the supervision and evaluation of
teachers is essential to continued professional growth and
accountability. It is unrealistic, however, to assume that
principals are always the authority in these areas.
According to Sagor (1992),

> The issue is more than simply who makes which
> decisions. Rather, it is finding a way to be
> successful in collaboratively defining the
> essential purpose of teaching and learning and
> then empowering the entire school community to
> become energized and focused. In Schools where
> such a focus had been achieved, we found that
> teaching and learning became transformative for
> everyone involved. (p. 13)

Instructional Leadership, although containing
important elements, does not contain the collaborative
elements and shared power essential to being a truly
successful leader.

Another way of viewing leadership is through the model
of Transactional leadership. This type of leadership
"creates a system of economic, political, or psychological
incentives for hard work and successful performance of
assigned tasks" (Mitchell & Tucker, 1992, p. 31). The
control in this form of leadership is with the holders of
the incentives. There also must be a clear understanding
of the tasks to be performed by the followers. This type
of leadership is therefore very leader controlled and much
involved with daily practices and organizational
structures. Now, although these issues must be

incorporated into any leader's repertoire of responsibilities, they leave out the collaboration and empowerment of teachers. According to this model, people perform their tasks well for a great part due to the incentives they receive. In public education there is not always much latitude in rewarding staff in tangible ways as there might be in business. Therefore the reality of administrators having much power in this regard is limited. The Rand Study (1974, 1975) as mentioned earlier illustrated that tangible incentives although motivating were not the primary reason teachers supported change projects. Bass (1985) described the relationship of a transactional leader with her/his followers as follows:

1. Recognizes what it is we want to get from our work and tries to see that we get what we want if our performance warrants it.

2. Exchanges rewards and promises of reward for our effort.

3. Is responsive to our immediate self-interests if they can be met by our getting our work done. (p. 11)

So, although there might be a place for some transactional skills, this mode of leadership does not appear to be as effective as a style that understands that a leader's primary role is to create and sustain an environment where professionals can be as creative and effective as possible.

The model of Transformational Leadership casts the principal in a particular role. In this role, the

principal functions as a steward of change. He/she helps to develop norms that promote collaboration, facilitate joint planning of vision and goals, share leadership tasks, promote a professional school culture, and foster teacher growth. A transformational leader believes in and trusts the wisdom and expertise of teachers and includes them in a very real way in all aspects of the work of education. Decisions that need the expertise of teachers are delegated to teachers. Teachers are empowered and respected. The norm is one of respect and value for teachers' input. In a study of Leadership characteristics and behaviors by Kirby, Paradise and King (1992), all of the leaders studied for effective leadership characteristics involved others in setting and achieving objectives. Transformational leaders value the individual and take time to get to know and understand the particular needs, interests, and skills of their staff. They work toward consensus as a dominant decision-making technique and work hard to create a climate where professionalism, intellectual growth, pride, and collaboration prevail. Figure 4 from Leithwood (1994) summarizes the practices of Transformational leadership by the categories of Purposes, People, Structure, and Climate.

The model of Transformational Leadership was initially developed by James MacGregor Burns in 1978 and expanded by Bernard Bass (1981, 1985). Burns described and contrasted

A Synthesis of Transformational Leadership Practices

<u>Purposes</u>

<u>Develops a widely shared vision for the school</u>

Initiates processes(retreats etc) that engage staff
in the collective development of a shared vision
Espouses own vision for the school but not in a way
that precludes other visions
Clarifies the specific meaning of the school's
vision(or own vision for the school) in terms of its
practical implications for programs, instruction and the
like.
Explicitly helps staff understand the relationship
between district and state initiatives and the school's
vision
Uses all available opportunities to communicate the
school's vision to staff, students, parents, and others

<u>Builds consensus about school goals and priorities</u>

Expects individual teachers and teams of teachers to
regularly engage in goal setting and review of progress
towards goals; may also have a process for goal setting
and review for whole school staff
Encourages teachers, as part of goal setting, to
establish and review personal professional growth goals
Assists staff in developing consistency among school
vision, school, and/or department goals and individual
goals
Engages with individual teachers in ongoing
discussion of their personal professional goals
Explicitly makes use of school goals in decision-
making processes
Clearly acknowledges the compatibility of teachers'
goals and school goals when such is the case
Expresses own views about goals that are important
for the school

<u>Holds high-performance expectations</u>

Demonstrates and unflagging commitment to the
welfare of students
Often espouses norms of excellence

Figure 4   A Synthesis of Transformational Leadership
          Practices

Figure 4, continued:

    Expects staff to be innovative, hardworking,and
professional; includes these qualities among the criteria
used for hiring new staff.
    Establishes very flexible boundaries for what people
do, providing people with freedom of judgement and action
within the context of overall school plans (a means of
nourishing their creativity)

                         People

Provides individualized support

    Gets to know individual teaches well enough to
understand their problems and be aware of their
particular skills and interests; listens carefully to
staff's ideas
    Provides recognition of staff work in the form of
individual praise or pats on the back
    Is specific about what is being praised as good work
    Has the pulse of the school; builds on the
individual interests of teachers, often as the starting
point of school change
    Encourages individual teaches to try new practices
consistent with their interests
    As often as possible, responds positively to
teachers' initiatives for change
    Treats everyone equally; does not show favoritism
toward individuals or groups
    Has an open-door policy
    Is approachable, accessible, and welcoming
    Follows through on decisions made jointly with
teachers
    As often as possible, provides money for
professional development and in support of changes agreed
on by staff
    Explicitly shares teachers' legitimate caution about
proceeding quickly toward implementing new practices,
thus demonstrating sensitivity to the real problems of
implementation faced by teachers

Provides intellectual stimulation

    Directly challenges staff's basic assumptions about
their work as well as unsubstantiated or questionable
beliefs and practices

Figure 4, continued:

> Encourages/persuades staff to try to new practices without applying pressure
> Encourages staff to evaluate their practices and to refine them as needed
> Stimulates the search for, and discussion of, new ideas and information relevant to school directions
> Attends conferences and seeks out many sources of new ideas and passes such ideas onto staff
> Seeks out new ideas by visiting other schools
> Publicly recognizes exemplary performance
> Invites teachers to share their expertise with their colleagues
> Consistently seeks out and communicates positive activities taking place in the school
> Removes penalties for making mistakes as part of efforts toward professional and school improvement
>
> <u>Models good professional practice</u>
>
> Becomes involved in all aspects of school activity
> Works alongside teachers to plan special events
> Reappoints constructively to feedback about own leadership practices
> Demonstrates, through school decision-making process, the value of examining problems from multiple perspectives
> Displays energy and enthusiasm for own work
> Always strives to do one's best; works hard and takes risk from time to time
> Inspires respect
> Is punctual
> Has a sense of humor
> Requests feedback from staff about own work
>
> <u>Structure</u>
>
> Distributes the responsibility and power for leadership widely throughout the school
> Shares decision-making power with staff
> Takes staff opinion into account when making own decisions

Figure 4, continued:

Ensures effective group problem solving during meetings of staff

Allows staff to manage their own decision-making committees

Provides autonomy for teachers (groups, individuals) in their decisions

Alters working conditions so that staff have collaborative planning time and time to seek out information needed for planning and decision making

<u>Culture</u>

Strengthens school culture by (a) clarifying the school's vision for teacher collaboration and for the care and respect of students and (b) sharing with staff norms of excellence for both staff and students

Uses bureaucratic mechanisms to support collaborative work by allocating money to provide opportunities for collaboration; creating projects in which collaboration is a useful method of working; and hiring staff who share school vision, norms, and values

Engages in frequent and direct communication, using all opportunities to make public the school's visions and goals

Shares power and responsibility with others: working to eliminate boundaries between administrators and teachers and between other groups in the school

Uses symbols and rituals to express cultural values by providing social occasions in which most staff participate

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(Leithwood, 1994, pp. 511-512)

the Transactional style versus the transformational. He saw them as two ends of a continuum. Avolio and Bass (1988) later went on to develop the MLQ questionnaire which investigated the four factors of *Charisma, Inspiration, Individualized Consideration,* and *Intellectual stimulation,* as well as the transactional factors of *Contingent reward* and *Management-by-exception.* The nonleading factor of

Laissez-faire and two outcomes--*satisfaction with the leader* and *perceived effectiveness*--were also analyzed. This research found that both Transformational and Transactional styles were used by most leaders. The results of this research is limited due to the population of military leaders. Their interpretation, however, led to the conclusion that transactional leadership is necessary for organizational maintenance, but that it doesn't stimulate change.

Research done by Kenneth Leithwood (1994) on the effects of Transformational leadership on school leadership found in schools that

> [t]hese results provide more support for Burn's (1978) conception of transformational leadership as opposite ends of a leadership continuum than for Avolio and Bass's (1988) conception of them as independent and value added." (p. 509)

The dimension of management by exception in particular was not seen as positive. Contingent reward, another transactional factor, was seen to be potentially transformational if used in and inspirational or charismatic manner. However, if exercised in circumstances where teacher commitment to restructuring is already high, it can have a negative effect, creating additional pressures on teachers. Leithwood (1994) summarized by stating: "Transformational effects depend on school leaders infusing day-to-day routines with meaning and purpose for themselves and their colleagues" (p. 515).

Kirby, Paradise and King (1992) administered the MLQ (Form 5f-Revised) in an educational setting. They also looked at narrative data regarding exceptional leaders. They found that followers prefer leaders who engage in the transformational behaviors associated with individual consideration, intellectual stimulation, and the transactional behavior of contingent reward. Although teachers rated charisma as important, their definition was not in sync with the survey's definition, which described charisma as having extraordinary appeal or the ability to attract followers. They emphasized more such terms as, "dynamic" and "people tend to gravitate toward her." The function of Contingent reward was also broadened in the narratives where teachers and leaders placed more emphasis on the work itself as rewarding.

From the above research it is important to note that styles and skills, whether they be transactional or transformational, are important in a principal's repertoire. When dealing with the first order issues such as the daily routines, curriculum, and management issues, transactional leadership and the model of instructional leadership are useful. However, such second order changes as developing shared visions, creating productive and nurturing school cultures, shared leadership and collaboration, are well supported by the transformational leadership model. The second order changes will not

progress as well if the first order changes are not valued.
According to Bass (1985),

> The first order of change--changes of degree--can
> be handled adequately by the current emphasis on
> leadership as an exchange process, a
> transactional relationship in which followers'
> needs can be met if their performance measures up
> to their contracts with their leader. But the
> higher order of change calls for something
> distinguishable from such an exchange
> relationship-transformational leadership. (p. 4)

School restructuring is a transforming event and such
skills necessary for this type of change are essential.

A school culture which promotes collegiality,
collaboration, and respect are essential for successful
change and growth. The organization of school buildings in
the past, however, has not been conducive to creating such
environments. Sergiovanni (1992a) sees collegiality as
"common membership in a community, commitment to a common
cause, shared professional values, and a shared
professional heritage" (p. 91). It is not to be confused
with congeniality which has more to do with friendly human
relationships in a school. This is obviously important
and a part of collegiality, but not a substitute. In a
school where collegiality is high, teachers can be observed
doing joint planning, talking in the teacher's room about
students and curriculum, teaching each other about new
techniques, and being involved in school-wide projects.
Collegiality is just one aspect of creating a strong school
culture. According to Saphier and King (1985) the other
norms are: Experimentation, high expectations, trust and

confidence, tangible support, reaching out to the knowledge
bases, appreciation and recognition, caring, celebration
and humor, involvement in decision making, protection of
what's important, traditions, and open, honest
communication.

> If we are serious about school improvement and
> about retaining talented people to school
> careers, then our highest priority should be to
> maintain reward structures that nurture adult
> growth and sustain the school as an attractive
> workplace. (Saphier & King, 1985, p. 74)

Developing collaborative cultures in the school
building is the focus of improving school climate.
According to Fullan (1992) "He or she (the principal) is
responsible for making vision-building a collective
exercise" (p. 20). This changes the role of the leader to
one who must facilitate this process by creating real
partnerships with teachers. The leader must, according to
Seller (1992), be a "team member instead of a team captain
all the time" (p. 24), and find ways of supporting teachers
as they assume leadership roles.

New planning structures must be developed. Teachers'
meetings where the principal directs the agenda and manages
the building are not the way. According to Senge (1990,
1995), the model of "learning organizations" is one way to
accomplish this collaborative structure. "A learning
organization is an organization in which people at all
levels are, collectively, continually enhancing their
capacity to create things they really want to create"

(Senge, 1995 p. 20). As they are very compartmentalized,
schools are not designed to promote these learning
organizations. Teachers see themselves as isolated in
their classrooms. Educators from the multiple
constituencies of School Board, Administration, and
teachers have little ability to collaborate, plan, and seek
solutions to the greater systemic changes necessary for
reform. Learning organizations need to work
collaboratively with all stakeholders taking part in the
difficult and complex work of school improvement.
Principals need to gather support from as inclusive a group
as possible of all who have the commitment and passion to
create and improve.

In stewarding these changes, Sergiovanni (1992a)
believes that educational leaders have "overemphasized
bureaucratic, psychological, and technical-rational
authority, seriously neglecting professional and moral
authority" (p. 3). He feels that the model for schools
should not be one of an organization but a community, for
schools are closer to families than corporations. The
value structure underlying leadership should be reassessed
and expanded to emphasize a moral dimension of leadership.
When the additional values of emotions, the importance of
group membership sense and meaning, morality, self
sacrifice, duty, and obligation are seen as important, a
sense of professionalism will be fostered that will
motivate educators to excel because of internally generated

motivators. This will be in sharp contrast to some existing school climates where educators often do only what is expected. "When community norms are in place in the school, and when people are committed to the professional ideal, people respond to work for internal reasons, and not because someone out there is 'leading them'" (Sergiovanni, 1992a, p. 58). Sergiovanni goes on to propose that leadership can be very much downplayed as the culture and norms of the school community grow to where professionalism is high, intrinsic satisfaction in work is rewarding, shared values prevail, and collegiality is the norm. Self management will begin to take hold and for the most part teachers will take responsibility for their own profession. He does note exceptions, however, where "command and Instructional leadership have their place . . . in schools where teachers are incompetent, indifferent, or just disabled by the circumstances they face" (Sergiovanni, 1992a, p. 123). This, however, should not be the dominant style and only used until the staff is more empowered and professionally motivated. The range of styles can be seen as developmental. As the climate and culture of a building grows to one where all educators see clearly their mission, respect one another, and work together for the good of the students, less directive, instructional, command, and transactional models need to be followed, incorporating a transformational model based in professional and moral

authority. In these schools, a principal will be seen as a leader of leaders.

Sergiovanni (1992a) emphasizes an important consideration in his work. He notes that much of the research regarding leadership and psychological development and motivation was done on studies of men (Bass, 1985; Levinson, 1987; Maslow, 1968). The values of individualism and competition extolled in much of this literature defined success in a manner that did not include feminine values of successful relationships, building of interpersonal connections, community and sharing. He states:

> The record of success for female principals is
> impressive. Women are under represented in the
> principal ship, but over represented among
> principals of successful schools. Giving
> legitimacy to the female perspective would also
> give license to men who are inclined toward
> similar practice. The good news is that such
> ideas as value-based leadership, building
> covenantal communities, practicing empowerment
> and collegiality, adopting the stance of servant
> leaders, and practicing leadership by outrage are
> gaining acceptance among male and female
> administrators alike. (Sergiovanni, 1992a, p.
> 138)

Eagley, Karau, and Johnson (1992), in their meta-analysis of gender and leadership style among principals found that women principals lead in a more democratic and less autocratic style, treating teachers as colleagues and equals and inviting their participation in decision making. Men were seen to be less collaborative and more directive. Women, however, were seen to be more task oriented. Women tended to emphasize interpersonal style a bit more, but not

significantly. This work suggests that men and women do have somewhat different leadership styles; however, this information does not lead to any conclusions regarding effectiveness of leadership in regard to gender-just style difference.

It is interesting to note that Bass (1981) states that "women in general are more relationship than task oriented" (p. 499). Perhaps leadership might change some of these natural tendencies that have been attributed to women. He goes on further to state,

> We have seen that women do differ from men on a wide variety of attributes associated with emergence as a leader, but the differences tend to blur if we contrast men and women who already have achieved status as leader. Once legitimized as a leader, women actually do not behave differently than men." (Bass, 1981, p. 500)

It appears that future research is warranted before any conclusions regarding gender styles can be firmly made. However, there appears to be some support for the differences in style focusing in those areas of collaboration and connections with others.

Much interest continues to be generated in effective leadership style and knowledge as school systems grapple with large reform movements both on the State and Federal level. From this body of knowledge it is evident that principals for today and the future will be required to perform substantially different roles than their predecessors.

CHAPTER III

THE STUDY

This study was designed to investigate Massachusetts elementary principals' knowledge and attitudes regarding their leadership roles in building based change. This chapter will present the research questions which have guided the development of the survey instrument, the construction and piloting of the survey, the sample selection, design of the survey, the procedures, limitations, and data analysis.

Research Questions

QUESTION I: Given that managing change projects is an essential and important role of principals, what is the knowledge base and attitude of elementary principals in Massachusetts toward change?

QUESTION II: Knowledge of Adult learning styles, life cycle issues, and psychological needs play an important role in designing change projects and stewarding them to success. What is the knowledge base and attitude of elementary principals in Massachusetts toward these issues?

QUESTION III: Leadership styles can range from the more autocratic and directive to one where the principal sees her/himself as a transformer, facilitator, or coach. How do elementary principals in Massachusetts describe their leadership style?

QUESTION IV: The climate of a building is an important consideration in creating an environment where change is more easily facilitated. School environments can range from ones where staff are involved in many of the daily working and decisions, to ones where the principal assumes most of those responsibilities. How do elementary principals in Massachusetts describe and value the working climate of their buildings?

Construction and Piloting of the Survey

The survey instrument used in this study consisted of 57 items using a five-point Likert Scale. Seven multiple choice and one ranking question were also included as well as six questions regarding the following demographic information: gender, educational degrees held, teaching and administrative experience, and population of school and community.

Before this survey was distributed it was piloted with ten school administrators in Massachusetts, as well as four faculty members at the University of Massachusetts and two professionals involved in survey research. Respondents were asked to complete the survey and make note of such considerations as: time taken for completion, confusing terms and vocabulary, readability, clarity of questions and instructions. Criticisms and suggestions were solicited. Surveys were returned with excellent suggestions which led to such changes as: the title of the survey; refinement of

demographic information; clarification of several ambiguous questions; clearer organization; more concise sub headings; and elimination of split concepts in one question. Revisions were then made and the final survey constructed.

Sample Selection

The subjects of this study consisted of elementary principals in the state of Massachusetts. Survey recipients were chosen from the 1225 public elementary schools listed in the Massachusetts School Directory for school year 1994-95 published by the Commonwealth of Massachusetts Department of Education. A stratified sample reflecting gender and size of municipality was selected so that the proportion of subjects randomly selected was the same as the group in the target population. This proportion led to 60% of the sample being male principals and 40% female, and 70% of the schools coming from municipalities over 10,000 in population and 30% from ones under 10,000.

Three hundred and fifty surveys were mailed to principals in the following quantities: 210 to male principals (147 to municipalities with populations exceeding 10,000 and 63 to municipalities with populations less than 10,000) and 140 to female principals (98 to municipalities with populations exceeding 10,000 and 42 to municipalities with populations less than 10,000). Each school has a specific number in the Massachusetts School

Directory. These numbers were placed on separate pieces of
paper and put into four containers, female-large
municipality, female-small municipality, male-large
municipality, and male-small municipality. The
corresponding number of the stratified sample was then
removed randomly from these containers and lists
constructed.

Design of the Survey

The survey instrument was designed to sample
elementary principals' knowledge and attitudes regarding
change and their leadership role in their buildings. A
search of the literature did not lead to the discovery of
any surveys relative to this study. A five-point Likert
Scale with the response continuum containing: Strongly
Disagree (SD), Disagree (D), Neutral or undecided (N),
Agree (A), and Strongly Agree (SA) was used. Attitudes are
often measured in educational research because of their
possible predictive value "(Borg & Gall, 1989 p. 311).

The survey instrument was constructed to discover this
knowledge base and attitude toward change of elementary
principals in Massachusetts. The survey began with six
questions requesting the following demographic information:
Gender, Educational degree, teaching experience,
administrative experience, population of school, and
population of community. Questions 1 through 26 were
matched to question one which queried the principal's

knowledge base and attitude toward the change process.
Questions 27 through 45 were matched to question two which
investigated knowledge and attitudes of adult learning
styles, life cycle issues, and psychological needs.
Questions 46, 47, 49, 50, 54, 55, 57, 58, 59, 60, and 65
were matched to question three which addressed leadership
styles. Questions 48, 51, 52, 53, 56, 61, 62, 63, and 64
were matched to question four which examined school climate
issues. The survey is included as Appendix B.

Procedures

Surveys were mailed to the randomly selected subjects
in March of 1995 with a cover letter explaining the purpose
of the study and guarantees of anonymity. A copy of this
letter is include as Appendix A. A numbered stamped return
envelope was included to allow a follow-up post card to be
mailed if the survey was not returned within the requested
time. The follow up postcard is included as Appendix C.
The surveys themselves had no identifying codes. Unless
respondents chose to fill out an optional last page to
receive a summary of the research, anonymity was promised.
Follow up postcards were mailed to non-respondents after
ten days to allow adequate time for returns of surveys.

Limitations

Given the recent passing of the Education Reform Act
of 1993 which gives much responsibility to principals while

supporting site-based management and teacher participation in governance issues, principals might respond more favorably to questions supporting a more democratic, collaborative leadership. Their actual style might in reality differ. This Social Desirability issue can be a concern in any self-reported survey. This issue could only be clarified by surveying staff of the respondents' respective buildings to determine if there is a strong correlation between their own and their staff's perceptions of their leadership style and knowledge.

Another limitation regards the issue that attitudinal studies, although often useful as predictors of specific behavior (Canary & Seibold, 1984), sometimes are not (Fishbein & Ajzen, 1977).

The survey measures attitudes of Elementary principals in Massachusetts. It would be difficult, given the special circumstances of Massachusetts schools, to generalize any of the findings to elementary principals in other states or at the secondary level.

Data Analysis

Descriptive statistics were used to indicate and compare the attitudes and knowledge of principals regarding their leadership style in effecting change. This data assessed current knowledge as of the Spring of 1995.

Frequency distributions were tabulated for the responses in the survey for the stratified random sample of

elementary principals. Correlational statistical analysis was performed on all items of the survey to determine if there were any significant differences in respondents' responses as determined by:

1. Gender

2. Age

3. Educational Degree

4. Teaching Experience

5. Administrative Experience

6. School Size

7. Size of Community

T tests were performed on those comparisons which indicated, either through the literature search or the data analysis, meaningful points to study. This included comparisons by gender and contrasting leadership style with decision-making and school climate issues.

Cross tabulations were done for questions which indicated a nominal response. These were done for Questions 58-65.

After tabulation, data were reviewed and analyzed. The findings are discussed in Chapter IV.

CHAPTER IV

RESEARCH FINDINGS

This chapter reports the results of the study obtained
from an analysis of the statistical data. The first
section tabulates and describes the demographic data. The
second section reports the data for the four research
questions by survey question for the entire population.
Tables for the attitudinal questions with respondent's
frequency and percentage of response to each item are
included for questions 1-57. Questions 58 through 65 which
contain ordinal data are set in cross tabulation form. The
third section describes the information in section two as
compared by gender. Tables of means, standard deviation
and T values are constructed for continuous data and Chi-
squares are constructed for the ordinal data. The fourth
section reports findings of contrasting the leadership
styles of collaborative, and democratic with decision
making, and school climate issues. Chi-squares were
constructed to determine significant differences.
The fifth section reports comments made by the respondents.

Section I- Demographic Data

There are 1225 elementary principals in the state of
Massachusetts (School Facts 1995, Massachusetts Department
of Education). Of that number 723, or approximately 60%,
are men and 502, or approximately 40%, are women. Of the

350 municipalities in the state of Massachusetts, 68% or 236 are under 10,000 in population and 114 or 32% are over 10,000. Surveys were sent in those proportions to best duplicate the population of principals as they exist. Three hundred and fifty surveys were sent. One hundred and forty-seven surveys were sent to male principals in larger municipalities and 63 to principals in smaller municipalities. Ninety-eight surveys were sent to female principals in larger municipalities and 42 to principals in smaller municipalities.

One hundred and eighty-five surveys were returned or 53% of total sent. Table 2 reports the breakdown of the respondents by gender and size of municipality.

A general description of the typical principal in Massachusetts emerged from the data (see Tables 3 through 8); the average age is 49, with the youngest principal being 32 and the oldest 66. The educational degree status of most of the respondents was a Masters degree plus. The average number of years spent in teaching was over 15, and years as an administrator was between ten and fifteen. The average school population was over 400 students, and the average municipality was between ten and 50 thousand. Approximately 60% are men and 40% are women.

Table 2

Survey Respondents by Gender and size of municipality

	MEN		WOMEN		TOTAL	
	number	%	number	%	number	%
LARGE	83	56	45	46	128	52
SMALL	31	49	26	62	57	54
TOTAL	114	54	71	51	185	53

Table 3

Age of Respondents

MEAN	STANDARD DEVIATION	MINIMUM	MAXIMUM
49.35	6.47	32	66

Table 4

Educational Degree

DEGREE STATUS	FREQUENCY	PERCENT
Bachelor	1	.5
Master's	112	60.5
CAGS	45	24.3
Doctorate	27	14.6
TOTAL	185	100
MEAN	2.53	
STANDARD DEVIATION	.745	

Table 5

Number of Years of Teaching Experience

YEARS OF EXPERIENCE	FREQUENCY	PERCENT
1 to 5	12	6.5
6 to 10	50	27.0
11 to 15	38	20.5
16 to 20	27	14.6
21 or more	58	31.4
TOTAL	185	100.0
MEAN	2.53	
STANDARD DEVIATION	1.34	

Table 6

Number of Years of Administrative Experience

YEARS OF EXPERIENCE	FREQUENCY	PERCENT
1 to 3	16	8.6
3 to 5	12	6.5
5 to 10	53	28.6
10 to 15	32	17.3
15 to 20	20	10.8
20 or more	52	28.1
TOTAL	185	100.0
MEAN	3.99	
STANDARD DEVIATION	1.60	

Table 7

School Population

POPULATION	FREQUENCY	PERCENT
Less than 100	1	.5
101 to 200	7	3.8
201 to 300	27	14.6
301 to 400	50	27.0
401 to 500	43	23.2
over 500	57	30.8
TOTAL	185	100.0
MEAN	4.61	
STANDARD DEVIATION	1.20	

Table 8

Population of Municipality

POPULATION	FREQUENCY	PERCENT
Under 1000	2	1.1
1,001 to 2,500	3	1.6
2,501 to 5,000	13	7.0
5,001 to 10,000	35	18.9
10,001 to 50,000	88	47.6
50,001 to 250,000	38	20.5
over 250,000	6	3.4
TOTAL	179	100.0
MEAN	4.85	
STANDARD DEVIATION	1.05	

<u>Section II- Research Questions</u>

This section reports the results of the survey by each of the four research questions. Results for the questions are presented in tabular form by percent and frequencies.

<u>Question I</u>

Given that managing change projects is an essential and important role of principals, what is the knowledge base and attitude toward change of elementary principals in Massachusetts?

To answer this question, respondents were asked to indicate the degree of agreement with the twenty-six attitudinal statements regarding change in schools along the continuum of Likert scale set of options. The results are listed in Table 9 in terms of frequency and percent distributions of the possible choices.

The principals surveyed indicated much agreement with many of the findings of the Rand Study (1974, 1975), Fullan (1991), and Hall (1980) with regard to how change occurs in school buildings.

Table 9

Responses of Principals Regarding Change in Schools

QUESTION: Change in schools	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
1. exciting	77 43%	95 53.1%	6 3.4%	1 .6%	0 0%
2. inevitable	85 47.5%	81 45.3%	8 4.5%	4 2.8%	0 0%
3. initiated by the need to solve problems	46 25.7%	97 54.2%	20 11.2%	15 8.4%	1 .6%
4. based upon recent educational research	19 10.6%	95 53.1%	44 24.6%	19 10.6%	1 .6%
5. is usually introduced by individual teachers	4 2.2%	60 33.5%	55 28.5%	51 30.7%	9 5%
6. is often set in motion by grant initiatives or other available fund sources	12 6.7%	92 51.4%	43 24%	27 15.1%	5 2.8%
7. originates from gov- ernment mandates or district policies	26 14.5%	86 48%	41 22.9%	24 13.4%	2 1.1%
8. is usually started by administrators	12 6.7%	100 55.9%	42 23.5%	25 14%	0 0%
9. needs majority staff involvement and commitment	105 58.7%	58 32.4%	2 1.1%	13 7.3%	1 .6%
10. needs focused and pertinent staff training oppor- tunities	126 70.4%	52 29.6%	0 0%	0 0%	0 0%
11. needs monetary incentives (staff stipends, etc.)	45 25.1%	73 40.8%	40 22.3%	21 11.7%	0 0%

QUESTION: Change in schools	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
13. is most successful when local adaptations to innovations are developed	86 48%	88 49.2%	2 1.1%	2 1.1%	0 0%
14. Is often a lengthy process lasting as much as five years	75 41.9%	85 47.5%	10 5.6%	8 4.5%	1 .6%
15. is more successful with training by outside experts	14 7.8%	51 25.5%	64 36%	47 27.5%	2 1.1%
16. is very much impacted by the attitudes and concerns of teachers	111 62%	66 36.9%	1 .6%	1 .6%	0 0%
17. is often stressful	73 41.1%	91 51.1%	11 6.2%	3 1.7%	0 0%
18. is often set in motion by fads or the latest educational experts' research	16 8.9%	67 37.4%	54 30.2%	36 20.1%	6 3.4%
19. only happens when teachers believe in the innovation	43 24.2%	89 50%	18 10.1%	28 15.7%	0 0%
20. is dependent in a great part upon the involvement of the building principal	111 62%	64 35.8%	1 .6%	2 1.1%	0 0%
21. is more a product of individuals than of institutions	49 27.4%	91 50.8%	27 15.1%	12 6.7%	0 0%
22. is often initiated successfully by individual teachers upon return from workshops or sabbaticals	3 1.7%	80 44.7%	56 31.3%	38 21.2%	2 1.1%

Table 9, continued:

QUESTION: Change in schools	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
23. is aided by piloting small projects in a building	26 14.5%	137 76.5%	11 6.1%	5 2.8%	0 0%
24. is accomplished by replicating successful projects from other schools	7 3.9%	99 55.3%	60 33.5%	12 6.7%	0 0%
25. requires a comprehensive planning component	69 38.5%	89 49.7%	19 10.6%	2 1.1%	0 0%
26. is often unnecessary	8 4.5%	18 10.1%	34 19%	75 42.1%	43 24.2%

Question II

Knowledge of adult learning styles, life cycle
issues, and psychological needs plays an
important role in designing change projects and
stewarding them to success. What is the
knowledge base and attitude of elementary
principals toward these issues?

The attitudinal questions 27 through 45 report the
results of this question in terms of frequency and
percentage distributions of the possible response choices
(see Table 10).

Table 10

Responses of Principals Regarding Adult Learning
Styles, Life Cycle Issues, and Psychological Needs

QUESTION:	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
27. teachers respond to change more positively in the earlier years of their career	27 15.1%	81 45.3%	26 14.5%	37 20.7%	8 4.5%
Beginning teachers are interested in: 28. "how to" methods of curriculum change	30 16.8%	119 67.2%	21 11.9%	5 2.8%	2 1.1%
29. personal growth	31 17.38%	123 68.3%	10 5.6%	2 1.1%	0 0%
30. collegial sharing	58 32.4%	108 60.3%	10 5.6%	2 1.1%	0 0%
Experienced teachers are interested in: 31. "how to" methods of curriculum change	23 12.8%	107 59.8%	25 14%	20 11.2%	3 1.7%
32. personal growth	18 10.1%	102 57.3%	39 21.8%	18 10.1%	1 .6%
33. collegial sharing	24 13.4%	94 52.5%	42 23.8%	18 10.1%	0 0%
34. teachers feel favorable about the mentoring model of teacher change	8 4.5%	67 37.4%	67 37.4%	32 17.9%	4 2.2%
35. both female and male teachers respond to change in a similar manner	5 2.8%	58 32.4%	40 22.3%	67 37.4%	1 .6%

Table 10, continued:

QUESTION:	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
36. it is difficult to initiate change in a building with a more experienced staff	15 8.4%	83 46.4%	30 16.8%	42 23.5%	8 4.5%
37. change projects should be designed with varying staff development models to suit individuals or groups of staff	50 27.9%	116 64.8%	5 2.8%	7 3.9%	0 0%
38. teachers should be able to adapt to a quality staff development model at any time in their careers	40 22.3%	101 56.4%	24 13.4%	13 7.3%	0 0%
39. Knowledge of a teacher's personal needs is important to the staff designing of an effective staff development project	0 0%	42 23.5%	113 63.1%	15 8.4%	8 4.5%
40. principals have little effect upon staff who are resistant to change	0 0%	21 11.7%	12 6.7%	98 54.7%	46 25.7%
41. a principal's time is better spent supporting staff who are actively involved in school improvement than those who are not	17 9.5%	51 28.5%	24 13.4%	66 37.1%	20 11.2%
42. it is primarily the principal's responsibility to initiate building based change	5 2.8%	63 35.2%	101 56.4%	9 5%	1 .6%

Table 10, continued:

QUESTION:	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
43. staff development programs are more successful when they are individualized	12 6.7%	75 42.1%	48 27%	39 21.9%	4 2.2%
44. attitudes and beliefs surrounding a change project most often are formed after implementation	3 1.7%	59 33.1%	39 21.9%	69 38.5%	8 4.5%
45. it is the principal's responsibility to insure the contin- uation of change in the school	45 25.3%	113 63.1%	8 4.5%	12 6.7%	0 0%

Question III

Leadership styles can range from the more autocratic and directive to one where the principal sees her/himself as a transformer, facilitator, or coach. How do elementary principals in Massachusetts describe their leadership style?

The attitudinal questions 46, 47, 50, 54, 55, and 57 are reported in Table 11 in terms of frequency and percentage distributions of the possible response choices. Questions 58, 59, and 60 are reported in Tables 12, 13, and 14 by frequency and percent distribution. Question 65A through 65H is reported in Tables 15 through 22 as rank order.

Table 11

Responses of Principals Regarding Leadership Style

QUESTION	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
46. projects are completed more efficiently when leadership roles are clearly defined	65 36.3%	99 55.3%	4 2.2%	7 3.9%	1 .6%
47. a principal's role in the building is foremost that of a manager	14 7.8%	45 25.1%	18 10.1%	78 43.6%	21 11.9%
49. there are times when decisions should be made by the principal	60 33.6%	101 56.4%	10 5.6%	7 3.9%	0 0%
50. programmatic decisions should be made in an open and democratic manner	51 28.5%	97 54.2%	17 9.5%	13 7.3%	0 0%
54. a strong charismatic principal can affect lasting change on his or her own through skill and perseverance	37 20.7%	69 38.5%	25 14.0%	40 22.3%	6 3.4%
55. a principal is most effective when practicing participatory leadership	70 39.1%	93 52.0%	10 5.6%	4 2.2%	2 1.1%
57. I see myself as being effective in my role as change agent in my school	54 30.2%	114 63.7%	9 5.0%	1 .6%	1 .6%

In Table 12, principals indicated their leadership style. It is interesting to note that only one respondent described himself as directive with one hundred and fifty indicating a collaborative style and twenty-nine democratic.

Table 12

Description of Leadership Style (Question 58)

RESPONSE	FREQUENCY	PERCENT
A. Directive	1	.6
B. Collaborative	150	83.3
C. Democratic	29	16.1
TOTAL	180	100

The statistics describing decisions made solely by the principal are presented in Table 13. Personnel issues at 87% agreement was the area most principals saw as being greatly in the Principal's domain.

Table 13

Decisions Made Solely by Principal (Question 59)

RESPONSE	FREQUENCY OF AGREEMENT	PERCENT
A. individual personnel issues	161	87
B. Budgetary issues	8	4.3
C. Final curriculum approval	10	5.4
D. Choosing Texts	0	0
E. Building Maintenance issues	27	14.6
F. Scheduling	12	6.5
G. Hiring of staff	40	21.6
H. Discipline of chronic student offenders	56	30.3
I. Parent complaints	35	18.9
J. Special events	2	1.1
K. Staff Supervision	84	45.4
L. Agendas for staff meetings	12	6.5
M. none of the above	17	9.2

The respondents were asked to determine their primary method of decision making. The consensus-making style was preferred by 72% as illustrated in Table 14.

Table 14

Manner of Decision Making (Question 60)

RESPONSE	FREQUENCY	PERCENT
A. through reaching consensus	127	72.2
B. by the principal	10	5.7
C. democratic process	28	15.9
D. through committee recommendation	11	6.3
TOTAL	176	100

Respondents ranked leadership skills necessary for facilitating change. Tables 15 through 22 describe each of the eight areas by frequency and percentage.

Table 15

Rank Order of Consensus Making as a Leadership Skill Necessary for Facilitating Change (Question 65A)

Rank	1	2	3	4	5	6	7	8
#	36	52	25	21	21	17	6	5
%	19.7	28.4	13.7	11.5	11.5	9.3	3.3	2.7

Table 16

Rank Order of Directing Projects as a Leadership Skill
Necessary for Facilitating Change (Question 65B)

Rank	1	2	3	4	5	6	7	8
#	0	10	7	14	26	29	41	55
%	0	5.5	3.8	7.7	14.3	15.9	22.5	30.2

Table 17

Rank Order of Coaching as a Leadership Skill Necessary for
Facilitating Change (Question 65C)

Rank	1	2	3	4	5	6	7	8
#	6	20	33	27	32	17	31	16
%	3.3	11	18.1	14.8	17.6	9.3	17	8.8

Table 18

Rank Order of Modeling as a Leadership Skill Necessary for
Facilitating Change (Question 65D)

Rank	1	2	3	4	5	6	7	8
#	20	20	24	29	18	10	20	23
%	11	11	13.2	15.9	9.9	15.4	11	12.6

Table 19

Rank Order of Organizational Skill as a Leadership Skill
Necessary for Facilitating Change (Question 65E)

Rank	1	2	3	4	5	6	7	8
#	25	29	23	25	26	34	14	5
%	13.7	15.9	12.6	13.7	14.3	18.7	7.7	2.7

Table 20

Rank Order of Empowering Staff as a Leadership Skill
Necessary for Facilitating Change (Question 65F)

Rank	1	2	3	4	5	6	7	8
#	87	34	21	21	5	5	4	5
%	47.8	18.7	11.5	11.5	2.7	2.7	2.2	2.7

Table 21

Rank Order of Managerial skill as a Leadership Skill
Necessary for Facilitating Change (Question 65G)

Rank	1	2	3	4	5	6	7	8
#	12	11	19	19	18	20	32	51
%	6.6	6	10.4	10.4	9.9	11	17.6	28

Table 22

Rank Order of Resource Person as a Leadership Skill
Necessary for Facilitating Change (Question 65H)

Rank	1	2	3	4	5	6	7	8
#	6	22	29	29	25	26	24	21
%	3.3	12.1	15.9	15.9	13.7	14.3	13.2	11.5

Question IV

The climate of a building is an important

consideration in creating an environment where

change is more easily facilitated. School

environments can range from ones where staff are

involved in many of the daily workings and

decisions, to ones where the principal assumes

most of those responsibilities. How do

elementary principals in Massachusetts describe

and value the working climate of their buildings?

The attitudinal questions 48, 51, 52, 53, and 56 are

reported in Table 23 in terms of frequency and percentage

distributions of the possible response choices. Questions

61, 62, 63, and 64 are reported in Tables 24, 25, 26, and

27 by frequency and percent distributions.

It is evident from the responses that the principals

surveyed value a collaborative building environment that

welcomes staff involvement and input.

Table 23

Responses of Principals Regarding Working Climate of Their
Buildings

QUESTION	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
48. It is essential that all members of a school building be involved in all decision making.	27 15.3%	53 29.9%	21 11.9%	69 39.0%	7 4%
51. There often is not enough time to process decisions in an open and democratic manner.	26 14.5%	92 45.8%	21 11.7%	46 25.7%	3 1.7%
52. It is essential that collaborative planning be emphasized in all change projects to ensure success.	52 29.2%	115 64.6%	7 3.9%	4 2.2%	0 0%
53. It is the principal's role to set visions and goals regarding change projects.	36 20.2%	92 51.7%	20 11.2%	29 16.2%	1 .6%
56. The working climate of a building is a very important element in the change process.	120 67.0%	57 31.8%	1 .6%	1 .6%	0 0%

The manner in which staff meetings are planned is
tabulated in Table 24. A great majority (85%) are planned
with input from staff.

Table 24

Planning of Staff Meetings (Question 61)

STAFF MEETINGS ARE PLANNED BY:	FREQUENCY	PERCENT
A. The principal	20	11
B. The staff	3	1.6
C. The principal with input from staff	154	84.6
D. The staff with input from the principal	5	2.7
TOTAL	182	100

Table 25 indicates the regularity of staff meetings. The greater majority of principals indicated that they were regularly scheduled.

Table 25

Regularity of Staff Meetings (Question 62)

FREQUENCY OF STAFF MEETINGS:	FREQUENCY OF AGREEMENT	PERCENT
A. Only when allowed by the terms of teacher contract	47	25.4
B. Regularly scheduled (weekly, bi-weekly)	111	60
C. As needed	76	41.1

Principals indicated in Table 26 that teachers supervision is done primarily by the principal or assistant principal.

Table 26

Supervision of Teachers (Question 63)

TEACHER SUPERVISION IS DONE BY:	FREQUENCY OF AGREEMENT	PERCENT
A. The principal and/or assistant principal	182	98.4
B. other colleagues (e.g., other teachers)	10	5.4
C. other supervisors (Dept. heads, SPED supervisors)	50	27.0

Table 27 describes the primary method of communication between principals and staff. Informally thorough the school/day or week garnered 96% of respondent's agreement.

Table 27

Principal-Teacher Communication (Question 64)

TEACHERS PRIMARILY COMMUNICATE WITH PRINCIPAL:	FREQUENCY	PERCENT
A. Through scheduled meetings	4	2.2
B. Informally through the school day/week	173	96.1
C. through written correspondence	3	1.7

Table 28 describes the demographic information by
gender. The average age for male elementary principals is
fifty and for females 48. Men's education degree status
with a mean of 2.6 is not significantly higher than women's
at 2.4. Women have a bit more teaching experience with a
mean of 3.6 to men's 3.2. Men, however, have significantly
more administrative experience with a mean of 4.5 to
women's 3.1. The school population and population of
Municipality are of little difference between the genders.

Table 28

Demographics

DEMOGRAPHIC VARIABLE	MALE(n=116) MEAN	SD	FEMALE (n=69) MEAN	SD	T VALUE
Age	50.2	5.8	47.6	6.6	2.64**
Educational degree	2.6	.76	2.4	.71	.26
Teaching Experience	3.2	1.4	3.6	1.3	-1.97*
Administrative Experience	4.5	1.5	3.1	1.3	6.08**
School Population	4.7	1.3	4.5	1.0	.78
Municipality Population	4.8	.9	4.8	1.1	.08

*   < .05
** < .01

Male and Female Principal's knowledge and attitude toward change is contrasted in Table 29. Five questions (numbers 7, 11, 12, 18, and 24) all indicated significant differences.

Table 29

Comparison of Male and Female Principals Regarding
Knowledge and Attitudes Toward Change

QUESTION #	MALE MEAN	SD	FEMALE MEAN	SD	T VALUE
1	4.3	.60	4.5	.53	-1.62
2	4.4	.74	4.4	.62	.02
3	4.0	.88	3.9	.94	.49
4	3.6	.86	3.6	.87	-.22
5	3.0	.96	2.9	.99	.70
6	3.4	.87	3.6	1.00	-1.47
7	3.5	.93	3.8	.90	-2.15*
8	3.5	.74	3.6	.96	-.43
9	4.4	.81	4.4	.95	.36
10	4.7	.47	4.7	.43	-1.30
11	3.7	.97	4.0	.93	-2.47**
12	4.2	.84	4.5	.74	-2.88**
13	4.4	.56	4.5	.61	-.25
14	4.0	.96	4.3	.91	-1.28
15	3.2	.93	3.1	.96	.97
16	4.6	.54	4.7	.51	-1.10
17	4.3	.73	4.4	.64	-1.16
18	3.4	.98	3.1	1.00	1.55
19	3.7	.97	4.1	.91	-3.40**
20	4.6	.56	4.7	.56	-1.35
21	3.9	.83	4.1	.82	-1.65
22	3.2	.92	3.2	.82	.18
23	4.1	.53	4.0	.60	.88
24	3.6	.72	3.5	.63	1.20
25	4.1	.68	4.5	.65	-3.26**
26	2.4	1.10	2.1	1.00	1.32

 * < .05
** < .01

Table 30 contrasts male and female principals'
knowledge and attitude towards adult learning styles, life
cycle issues and psychological needs. Only question 35
indicated any significant differences.

Table 30

Comparison of Male and Female Principals Regarding Adult
Learning Styles, Life Cycle Issues and Psychological Needs

| QUESTION # | MALE | | FEMALE | | T |
	MEAN	SD	MEAN	SD	VALUE
27	3.5	1.10	3.4	1.0	.93
28	4.0	.74	4.0	.71	-.13
29	4.1	.65	3.9	.61	1.44
30	4.2	.63	4.2	.57	-.22
31	3.7	.84	3.8	.98	-.76
32	3.7	.77	3.6	.91	.62
33	3.6	.85	3.8	.82	-.97
34	3.3	.86	3.2	.91	.80
35	3.1	.99	2.6	.12	2.68**
36	3.3	1.10	3.3	1.0	-.33
37	4.1	.68	4.3	.62	-1.68
38	3.9	.80	4.1	.83	-1.29
39	4.0	.72	4.0	.78	.0
40	2.0	.87	2.1	.94	-.94
41	2.8	1.20	2.1	.94	-.69
42	3.1	1.20	3.3	1.20	-1.15
43	3.3	.94	3.4	.99	-.85
44	2.9	.95	2.8	1.00	.42
45					

* < .05
** < .01

Male and Female principals attitudinal responses
toward leadership styles are contrasted in Table 31. No
significant differences were noted.

Table 31

Comparison of Male and Female Principals Regarding
Leadership Styles - Attitudinal Questions

QUESTION #	MALE MEAN	SD	FEMALE MEAN	SD	T VALUE
46	4.2	.76	4.4	.67	-1.48
47	2.8	1.20	2.8	1.2	.02
49	4.3	.67	4.1	.85	1.46
50	4.0	.78	4.1	.90	-.55
54	3.6	1.10	3.4	1.2	1.06
55	4.2	.55	4.3	.83	-.95
57	4.2	.63	4.2	.60	-.17

*   <.05
** <.01

Question 58, which asks respondents to describe their
leadership style as Directive, Collaborative, or
Democratic, is illustrated in Table 32, as contrasted by
male and female principals. No significant differences
were noted in these leadership styles by gender.

Table 32

Comparison of Male and Female Principals Regarding
Leadership Style (Question 58)

LEADERSHIP STYLE	MALE		FEMALE	
	#	%	#	%
A. Directive	1	.9	0	0
B. Collaborative	95	84.2	55	82.1
C. Democratic	17	15.0	12	17.9
TOTAL	113	100	67	100

CHI-SQUARE   .23
SIGNIFICANCE   .63

Principals were asked which decisions in their
buildings were made solely by themselves. Table 33
contrasts the responses of male and female principals of
the thirteen possible choices. There was very close
agreement between male and female principals on many of
these tasks. No significant differences were noted.

Table 33

Comparison of Male and Female Principals Regarding
Decisions made solely by the Principal (Question 59)

| QUESTION # | MALE | AGREEMENT | FEMALE | | CHI SQUARE |
	#	%	#	%	
59A	100	89.3	57	85.1	.86
59B	5	4.3	3	4.3	.00
59C	6	5.2	3	4.5	.06
59D	0	0	0	0	-
59E	14	12.5	9	13.4	.03
59F	8	7.1	2	3.0	1.37
59G	24	21.4	13	19.4	.10
59H	38	33.9	17	25.4	1.44
59I	19	17	14	20.9	.43
59J	2	1.8	0	0	1.20
59K	51	45.5	31	46.3	.01
59L	9	8.0	1	1.5	3.40
59M	10	8.9	5	7.5	.12

*   <.05
** <.01

Principals were asked to select one of four choices
regarding how they made decisions in their buildings. Table
34 contrasts the responses of male and female respondents.
The consensus making method was chosen by the geatest
majority of both male and female principals as their
preferred decision-making style. No significant
differences between genders were noted.

Table 34

Comparison of Male and Female Principals Regarding Manner
of Decision Making (Question 60)

MANNER OF DECISION MAKING	MALE #	%	FEMALE #	%
A. through reaching consensus	79	73.8	45	70.3
B. by the principal	7	6.5	1	1.6
C. democratic process	13	12.1	15	23.4
D. through committee recommendation	8	7.5	3	4.7
CHI-SQUARE 5.8 SIGNIFICANCE .12				

Table 35 compares how male and female principals rank leadership skills important for facilitating change. Five areas showed significant differences between the genders (consensus making (65A), coaching (65C), modeling (65D), empowering staff (65F), and managerial (65G). Men ranked consensus making and managerial higher, and women ranked coaching, modeling, and empowering staff higher.

Table 35

Comparison of Male and Female Principals Regarding Rank of
Leadership Skills Important for Facilitating Change
(Question 65)

| QUESTION # | MALE | | FEMALE | | T |
	MEAN	SD	MEAN	SD	VALUE
65A	2.8	1.8	3.7	1.9	-3.03**
65B	6.0	1.8	6.5	1.6	-1.72
65C	4.9	2.0	4.3	1.8	1.96*
65D	4.9	2.3	4.0	2.2	2.38*
65E	4.0	2.0	4.0	2.0	-.26
65F	2.6	1.9	2.0	1.5	2.17*
65G	5.3	2.3	6.0	2.2	-2.10*
65H	4.9	2.0	4.6	1.9	.90

*   <.05
** <.01

Table 36 compares the responses of male and female
principals regarding attitudinal questions towards building
climate. Only one response (time to process decisions in a
democratic manner indicated any significant difference).
Women principals felt more strongly than men that there was
not enough time to process decisions in an open and
democratic manner.

Table 36

Comparison of Male and Female Principals Regarding Working
Climate of their Buildings - Attitudinal Questions

QUESTION #	MALE MEAN	SD	FEMALE MEAN	SD	T VALUE
48	3.1	1.21	3.2	1.22	1.46
51	3.3	1.08	3.7	1.01	-2.49**
52	4.2	.61	4.2	.62	-.25
53	3.7	.94	3.8	1.01	-.76
56	4.6	.55	4.7	.45	-1.21

* < .05
**< .01

Table 37 compared the manner in which male and female

principals plan staff meetings. There was no significant

differences.

Table 37

Comparison of Male and Female Principals Regarding Planning
of Staff Meetings (Question 61)

STAFF MEETINGS ARE PLANNED BY:	MALE #	%	FEMALE #	%
A. The Principal	16	14.6	3	4.5
B. The staff	3	2.7	0	0
C. The principal with staff input	88	59.1	61	40.9
D. The staff with principal input	3	2.7	2	3.0

Chi-Square   6.38
Significance   .09

The regularity of staff meetings is compared between male and female principals in Table 38. No significant differences were found.

Table 38

Comparison of Male and Female Principals Regarding
Regularity of Staff Meetings (Question 62)

STAFF MEETINGS ARE HELD: (agreement)	MALE #	%	FEMALE #	%	CHI SQUARE
A. only when allowed by the terms of the teacher contract	23	20.5	22	32.8	4.34
B. regularly scheduled (weekly, bi-weekly)	71	63.4	39	58.2	.48
C. As needed	44	39.3	28	41.8	.11

* < .05
**< .01

The comparison of male and female principals regarding supervision of teachers is compared in Table 39. There was very strong agreement by both male and female principals that supervision of teachers be done primarily by the principal. No significant differences were found.

97

Table 39

Comparison of Male and Female Principals Regarding
Supervision of Teachers (Question 63)

SUPERVISION OF TEACHERS IS DONE BY: (agreement)	MALE #	%	FEMALE #	%	CHI SQUARE
A. The principal and/or assistant principal	109	97.3	67	100	1.83
B. Other colleagues	7	6.3	3	4.5	.25
C. Other supervisors (Dept. heads, Sped)	31	27.7	19	28.4	.01

* < .05
**< .01

Table 40 illustrates the comparison between male and
female principals regarding principal-teacher
communication. No significant differences were found.

Table 40

Comparison of Male and Female Principals Regarding
Principal-Teacher Communication (Question 64)

TEACHERS COMMUNICATE WITH PRINCIPAL PRIMARILY:	MALE #	%	FEMALE #	%
A. Through scheduled meetings	3	2.7	1	1.6
B. Informally through the day/week	105	94.6	63	98.4
C. Through written correspondence	3	2.7	1	1.6

Chi-Square   2.02

Significance   .36

The collaborative and democrative leadership styles
were contrasted with selected research questions to
determine if there were significant differences in how
principals with these different styles operated in their
buildings. Since only one respondent described himself as
directive, it was not possible to compare this style of
leadership with the others. The results are presented in
Tables 41 through 43. No significant differences were
noted between the styles of collaborative and democratic.

Table 41

Comparison of Collaborative and Democratic Style of
Leadership with Leadership Tasks (Question 58 with 59)

QUESTION (agrees with)	COLLAB #	%	DEMOCRATIC #	%	CHI SQUARE
59A	131	87.3	26	89.7	.12
59B	5	3.3	3	10.3	2.8
59C	9	6.0	0	0	1.8
59D	150	100	29	29	-
59E	17	11.3	6	20.7	1.9
59F	7	4.7	3	10.3	1.5
59G	31	20.7	6	20.7	.0
59H	45	30	10	34.5	.22
59I	24	16	9	31	3.6
59J	2	1.3	0	0	.39
59K	70	46.7	12	41.4	.27
59L	13	8.7	2	6.9	.09
59M	4	2.7	1	3.4	1.22

*   < .05
** <.01

Table 42

Comparison of Collaborative and Democratic Style of
Leadership with Planning of Staff Meetings (Question 58
with 61)

Meetings planned by:	Collab #	Collab %	Democratic #	Democratic %
A. Principal	17	11.6	2	6.9
B. Staff	3	2.0	0	0
C. Principal with staff input	123	83.7	26	89.7
D. Staff with principal input	4	2.7	1	3.4

CHI SQUARE   1.22
SIGNIFICANCE   .75

Table 43

Comparison of Collaborative and Democratic Leadership
Styles with Supervision of Staff (Question 58 with 63)

SUPERVISION IS DONE BY: (agreement)	COLLAB #	COLLAB %	DEMOCRATIC #	DEMOCRATIC %	CHI SQUARE
A. The Principal	147	98	29	100	.59
B. Other colleagues	9	6	1	3.4	.30
C. Other Supervisors	46	30.7	4	13.8	3.4

*   <.05
** <.01

Respondents were asked in the end of the survey if they would like to make a comment. Sixteen principals complied. Their comments are listed in figure 5 described by their demographic categories.

DESCRIPTION OF RESPONDENT*	COMMENT
Female, CAGS B, D, F	No change occurs unless the principal is willing to communicate with teachers. There must be mutual trust and respect. Then problems and solutions may be shared. Teachers must be celebrated. Then change will occur.
Female, Doctorate B, D, F	I believe that all the constituencies need to be part of an innovation, though they may not all see the need for it at the same time. Leadership entails having a vision while simultaneously developing a vision with the staff, parents, and students. I believe one segment of the population cannot achieve change without others also investing in the effort. Thought it is not necessary for everyone to be ready before beginning. I particularly use Michael Fullan's and Terrance Deal's ideas.
Female, CAGS B, D, F	I don't feel gender and/or age influence a person's performance. Personality, belief systems, professional experiences, etc., are more apt to influence the manner by which a person performs.

Figure 5. Additional Comments

Figure 5, continued:

DESCRIPTION OF
RESPONDENT*   COMMENT

Female, CAGS   Educational Reform was a Ready-
B, C, F   Fire-Aim reaction with a real lack
                       of vision or preparation. There
                       are still too many loose ends!
                       Principals have been given broad
                       power yet there's no safety net or
                       support (union). Teachers are
                       protected. (Principals in my city
                       have been without contracts or
                       raises since Ed Reform was signed!)

Female, BA   Building-based change can only
A, C, E   happen with cooperation of all.
                       Just as in the classroom, teacher
                       generated ideas work and are more
                       successful than top-down mandates.
                       If no one is willing to initiate,
                       then up to principal. The more
                       experienced teachers find it
                       difficult to try something new
                       because they have been through
                       "many swings of the pendulum."
                       Prove it works first is their
                       motto. Time is also a factor. The
                       principal needs some assistance
                       from staff who also are willing to
                       put in the time it takes for
                       implementation.

Male, CAGS   Factors that influence my powers;
B, D, F   older faculty; range of school
                       population pre- to grade 8; 800
                       students; 50 teachers; teacher
                       contract.

Male, Master's   Change may be initiated by any of
B, D, F   the methods discussed in question-
                       naire, through outside agencies,
                       central administration, or from
                       within a school building. Positive
                       change is probably more successful
                       when administration and staff work
                       cooperatively, sharing the
                       decision-making process.

Figure 5, continued:

DESCRIPTION OF
RESPONDENT*   COMMENT

Male, Master's   I have worked in public schools for
A, C, F   21 of the 25 years I have been an
                        educator. For four years, I was a
                        private school principal. In my
                        experience, the rhetoric of School
                        Reform and site-based management
                        doesn't come close to what I
                        experienced in the private sector.
                        My frustration with bureaucracy and
                        regulations hasn't diminished my
                        fervor for reforms, but we have a
                        long way to go.

Male, Master's   I find my position very demanding
B, D, F   and requiring a great deal of
                        decision making, and adaptability.

Male, CAGS   I've always been an advocate of
B, D, E   participatory management and
                        consider myself to be an effective
                        change agent.

Male, CAGS   My role is to bring staff together
B, D, E   in a vision and assist in any way I
                        can to "get 'em" there. No one
                        loves change; it's like someone
                        died.

Male, Master's   I would have more accurately
A, D, E   described my style as situational
                        modeled after Blanchard's work. I
                        place much emphasis on building
                        school culture which parallels the
                        risk taking, investigations,
                        research, and celebrations of
                        exemplary businesses. I see the
                        principal as a key component to
                        effective sustained change.

Male, Master's   The role of parent in decision
B, D, F   making has increased in recent
                        times. This participation has
                        helped in the formation of a
                        school's vision. It has also been
                        my experience that parents have
                        always been significant change
                        agents.

Figure 5, continued:

DESCRIPTION OF
RESPONDENT*   COMMENT

Female, CAGS   I find age makes no difference
A, D, F   in ability to accept change.
                       Sometimes teachers do want you to
                       make the decisions, especially if
                       it is a colleague. Principals must
                       state vision and beliefs, and stick
                       to them even if they must bend to
                       will of staff to meet school's
                       needs.

Female, Master's   In a large school system, many
A, C, F   mandates originate in the central
                       office. Individual staffs and
                       principals often must accept
                       decisions where they have
                       contributed little, if anything, to
                       the decision or process.

Female, CAGS   I find the most restraining part
A, D, F   of the job is Civil Service lists
                       and Union contracts that I have
                       little or no control over, yet are
                       responsible (ex. a custodian who is
                       lazy-I cannot fire him because now
                       he has more protection than I do).

* A = 1 to 10 years administrative experience
  B = 10 to over 20 years of administrative experience
  C = School population of 0 to 300
  D = School population of over 300
  E = Town population of Under 10,000
  F = Town or city population of over 10,000

CHAPTER V

DISCUSSION OF FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

Discussion of Findings

Question I

The first research question sought to determine the knowledge base and attitudes toward change of elementary principals in Massachusetts. From the results, it is evident that the majority perceive change as exciting, inevitable, stressful, and necessary. The majority also concur with the findings of the Rand Study (1974, 1975) that change is initiated by the need to solve problems; related to school and district goals; needs a comprehensive planning component; is most successful when locally adapted; originates from government mandates and district policies; is accomplished through replication of successful projects from other schools; is based upon recent educational research(a good idea); and needs majority staff involvement and commitment (critical mass).

The Rand Study (1974, 1975), Fullan (1991), and Sergiovanni (1992a) found that monetary incentives are not essential for teacher growth and change. Seventy-seven percent of the principals surveyed, however, felt that these incentives were needed.

Both the Rand Study (1974, 1975) and Fullan (1991) found that change: originates from government mandates or district policies; is often set in motion by grant

initiatives or other funding sources; and needs focused and pertinent staff training. The majority of principals surveyed agreed with these findings.

The majority of principals (98%) surveyed felt that change projects need the active involvement of principals, a finding that agrees with much of the recent research literature (Fullan, 1991; Leithwood, 1990; Poplin, 1992; Sergiovanni, 1992a). Twenty-four percent, however, felt neutral and fourteen percent disagreed when asked if principals initiated change. When asked if teachers usually introduced change in their buildings, only thirty-four percent agreed, with twenty-eight percent feeling neutral and thirty-six percent disagreeing. Their perceptions about the importance of staff involvement and commitment in change projects were in strong agreement (91%).

There was also strong agreement (99%) with Hall's contention that teachers' attitudes and concerns have a great impact upon change, and that change is more a product of individuals than institutions (78%). Forty-seven percent agreed that change is often initiated successfully by teachers upon return from workshops or Sabbaticals. Research from Rand (1974, 1975), Hall (1980), and Fullan (1991) all indicated teacher initiation as important, yet see success of this phase being strongly tied to administrative and district support.

Seventy-four percent felt that change happens only when teachers believe in the innovation. Although work done by Hall (1980), Rand (1974, 1975), and Fullan (1991) does indicate this importance, later reflections upon the Rand work by McLaughlin (1990) indicated that teachers initially opposed to projects can become convinced after practice.

Thirty-three percent agreed that staff development is more successful with training by outside experts; thirty-six percent were neutral; and twenty-eight percent disagreed. They also were unsure of initiation through experts' research or recent fads. Hall (1980), Fullan (1991), and Rand (1974, 1975) all see the greater importance of local training. However, McLaughlin (1990) learned in revisiting the findings that outside trainers if attuned to local goals can be successful.

Ninety-one percent agreed that piloting small projects in a building aids change. Rand (1974, 1975) and Hall (1980) found that, without intense support from administrators, these projects would not influence the rest of the school population to a large degree.

Elementary principals in Massachusetts have a good grasp of the change process as it relates to school. They concur with many of the findings of research and see change as exciting and necessary, yet understand the inherent stress.

Principals are in disagreement with research when they indicate that staff needs monetary incentives in order to participate in change projects. In this manner, their leadership style would be described as more transactional; that is, they see staff needing extrinsic motivators to become involved in change projects. Perhaps this viewpoint might be a result of teachers' salaries being seen as low as compared to other professions. There might be a perception that if teachers were more highly paid they would more willingly participate in their own professional improvement.

Principals understand the responsibilities of stewarding change in their buildings, but are not as strong in regard to the power of teachers in initiating change. Their perception regarding teachers' involvement and commitment during implementation was overwhelmingly in agreement. They also feel that teachers should believe in the innovation or change will not occur. Recent research by McLauglin (1990) and Fullan (1991) has shown, however, that belief after implementation often occurs.

Principals are divided on the use of outside consultants. Perhaps this comes from the ineffective use of such people in the past. Recent research by McLaughlin (1990) indicates that these consultants can be effective if local goals are addressed.

Finally, principals support the piloting of projects and therefore must see these as positive. However, there

is not any research to support that these projects are actually incorporated into the buildings without great administrative support.

Question II

The second research question surveyed the knowledge base and attitudes toward change of elementary principals in Massachusetts towards adult learning styles, life cycle issues, and psychological needs. The majority of respondents indicated that teachers respond to change more positively in the earlier years of their careers (60%), and that it is more difficult to initiate change in buildings with more experienced staff (55%). This fact concurs with research done by Arin-Krupp (1987) and Leithwood (1990), who saw the possiblity of teachers later in their career becoming less involved in the workings of the school building and more self absorbed. The other side of this coin, however, would be the possibility of more experienced teachers becoming mentors and becoming invested in leaving a legacy (Erikson, 1962; Levinson, 1978).

Principals saw beginning teachers being a bit more interested in "How to" workshops (84%) than more experienced teachers (73%). Beginning teachers were also seen as being more interested in personal growth (86%) and collegial sharing (93%) than older teachers, where the agreement for personal growth was (67%) and for collegial sharing was (70%). It appears that principals perceive

beginning teachers in all surveyed areas to be more open to change. However, these differences are not of a great significance because the majority of principals agreed that experienced teachers are open to these changes. Krupp and Leithwood see problems with teachers late in their careers becoming disillusioned and biding time until retirement, but they see these teachers as a great source of wisdom and skill which can help transform a building.

Although the research illustrated that younger teachers are interested in forming mentor relationships (Levinson, 1978), while experienced teachers are looking to leave a legacy (Erikson, 1962; Levinson, 1978; Krupp, 1987; Leithwood, 1990), only thirty-five percent of principals surveyed agreed that teachers feel favorable about a mentoring model with another thirty-seven percent feeling neutral and twenty percent disagreeing. Although research in regards to career development and psychological needs indicates that mentoring would be advantageous, it doesn't appear that that is happening in schools. Perhaps the structures of school where teachers work in a solitary situation with little time to collaborate impedes development of mentoring relationships. Lortie (1975) reported that forty-five percent of teachers reported "no Contact" with other teachers in doing their work; thirty-two percent reported some contact; and twenty-five percent reported much contact (p. 193). Fullan (1991) sees these

collegial connections as being extremely important for teacher change.

Respondents were spread across the continuum of responses when it came to the statement "Both female and male teachers respond to change in a similar manner." Fifty-five percent agreed; twenty-two percent were neutral; and thirty-eight percent disagreed. Arin-Krupp (1987), Gilligan (1982), and Sheehy (1974, 1981) saw women responding differently to change because of their differing roles in life. They must grapple with outside constraints and family obligations particularly earlier in their careers. Later in their careers, these constraints may have diminished, leaving them more eager to focus on career. These differences in responsibilities regarding family can impact a woman's ability and desire to become engaged in change projects at certain times. However, much of this work is anecdotal and, although women may have different career time tables, they may respond very similarly to men to professional growth activities.

The majority of principals agreed that change projects should be varied to suit individuals and groups of staff and that teachers should be able to adapt to quality staff development models at any time in their careers. However, they did not feel strongly about responding to a teacher's personal needs in designing these projects (24% agreement, 13% disagreement and 63% neutral). Research by Joyce and

McKibbin (1980, 1882) sees this knowledge as important to being effective in change projects.

Although the research illustrates that there are those teachers who become disheartened and resistant to change (Krupp, 1987; Leithwood, 1990), respondents did not agree (80%) that they had little effect upon staff resistant to change. They were more mixed in their response, however, when it related to time spent supporting staff actively involved in change over those who were not. Thirty-eight percent agreed with this statement, thirteen percent were neutral, and forty-eight percent disagreed. These findings indicated that principals in this survey feel that they lead change projects in their schools even with resistant staff and are willing to spend some time doing it.

Although much of the research indicates how important a principal is to the initiation of change, respondents primarily feel neutral (56%) about assuming this responsibility. This may indicate their wish to not be as responsible for the initiation of change; rather, they may perceive teachers and other stakeholders as equally involved. When asked earlier about teacher initiation of change programs, only thirty-five percent of respondents felt that teachers initiated the change. On the other hand, it might indicate this responsibility being assumed by central office or school committee. Thirty-five percent of respondents, however, did see change initiatives as primarily their responsibility. When it came to principals

being responsible for continuation, there was eighty-eight percent agreement with this concept.

As to individualization of staff development programs, forty-nine percent agreed to that importance; however, twenty-four percent disagreed. The work of Krupp (1987) and McKibben and Joyce (1980, 1982) does indicate attention to individual growth and psychological states of teachers as an important element to designing staff development programs.

Principals varied in their responses to teachers' attitudes and beliefs being formed after implementation. Thirty-four percent agreed with this concept; twenty-two percent were neutral; and forty-five percent disagreed. Research done by McLaughlin (1991) and Fullan (1991) indicates that, in many cases, teachers do change initial resistance to a change projects after implementation. This piece of information is very important for principals involved in change projects. Early resistance by staff could become an insurmountable obstacle. The fact that teachers do change their minds and often successfully implement an innovation might help a principal over those early difficult months of initiation and implementation.

Principals in this survey are in agreement with research in many aspects of adult learning styles, life-cycle issues, and psychological needs. They feel responsible for leading teachers through the process and particularly at the implementation phase. Principals are

willing to put in the time to work with more resistant
staff and see change possible for all. They do not see
significant differences in staff development programs for
beginning and experienced teachers, but see beginning
teachers as a bit more amenable to change. They see change
projects as needing to be varied, but are not as strong in
their response to suiting teacher's individual and personal
needs. In regard to the importance of mentoring projects,
principals did not see teachers valuing this model. The
majority of principals surveyed also felt that male and
female teachers responded similarly to change.

Question III

The third research question sought to determine how
elementary principals described their leadership style.
The majority of respondents understand the importance of
clearly defining leadership roles and believe that there
are times when decisions should be made by the principal.
Principals do not see their role as primarily that of a
manager and believe (83%) that decisions should be made in
an open and democratic manner. Ninety-one percent support
participatory leadership, and ninety-four percent see
themselves as being effective in their role as change
agent. Fifty-nine percent believe a strong charismatic
principal can effect lasting change on his/her own through
skill and perseverance.

From the above responses to the attitudinal questions in this section, elementary principals see themselves as being effective and competent in leading change in their buildings. They support a participatory, democratic style of leadership but many believe strength and charisma can effect lasting change. Fullan (1991), Leithwood (1992, 1994), Sergiovanni (1992a), and Bass (1985) all support these qualities of participative and collaborative leadership styles yet caution readers against seeing charisma as always a positive trait in a leader. Bass (1985) in particular stated:

> Relatively speaking, the charismatic transformational leader dealing with authentic needs will rely somewhat more on rational intellectual persuasion; the false messiah who fails to have transforming effects will rely more on emotional appeals. We expect to find a greater discrepancy between the actual and perceived competence of the charismatic leader who fails to display transforamtional leadership with the charismatic who does. While both inspire followers, the charismatic transformational leader more often will appear in the role of teacher, mentor, or coach; the charismatic who is not transforming will appear in the role of celebrity, shaman, miracle worker, or mystic. (p. 52)

When principals described their leadership style, only one respondent described himself as directive, one hundred and fifty (83%) described themselves as collaborative, and twenty-nine (16%) described themselves as democratic. The directive style obviously has become less valued, with principals seeing themselves as primarily collaborative in their dealings with staff.

When it comes to decisions principals feel should be made solely by themselves, the overwhelming issue was individual personnel issues (e.g., chronic tardiness). Eighty-seven percent agreed that principals should deal with these issues. Staff supervision, with forty-five percent agreement; disciplining of chronic student offenders, with twenty-two percent agreement; parent complaints, with nineteen percent agreement; and building maintenance issues, with fifteen percent agreement, were the other areas for which principals felt solely responsible. Budgetary issues, curriculum approval, choosing texts, scheduling, planning of special events, and agendas for staff meetings received little or no support as decisions made by principals alone. Interestingly, nine percent of principals felt that none of these decisions should be made by themselves alone.

As for the method of decision making the greatest majority (72%) felt that consensus making was their primary method. Six percent made decisions by themselves; sixteen percent through the democratic process; and six percent through committee recommendation. This data corroborated fairly closely their description of leadership style from question fifty-eight. However, it was interesting to see that only one principal considered himself directive, yet ten described themselves as making most of the decisions in their building.

The leadership skill seen as most important for facilitating change was empowering staff. Consensus making, organizational skills, and being a resource person followed. Directing projects ranked the lowest, with managerial skills close in rank. Coaching and modeling ranked in the middle.

Principals in this study value collaboration, participation, and empowering staff. They see themselves as effective change agents and describe their leadership style as democratic and collaborative. They do not value the directive model of leadership, yet understand that there are times when decisions need to be made solely by themselves.

Question IV

The fourth research question surveyed elementary principals in Massachusetts regarding the working climate of their buildings. Respondents understood the importance of the working climate of the building, with ninety-eight percent agreeing. Collaborative planning was emphasized with a ninety-four percent agreement rate. Regarding processing decisions in an open and democratic manner, thirty-eight percent felt neutral or that they did not have the time to process decisions in such a manner, and only forty-six percent felt it was essential for all members to be involved in all decision making. A good majority (72%)

felt that it was the principal's role to set visions and goals.

From the above attitudinal questions, it appears that principals value a collaborative building environment and a good working climate. They do not always feel that they can process decisions in a open and democratic manner and see themselves as making many of the decisions and setting goals and visions.

Principals plan staff meetings, generally with input from staff, and hold them regularly. Supervision is provided primarily by the principals or assistant principals (98% agreement) and sometimes other supervisors (27% agreement), but very little peer supervision (5% agreement). Teacher-principal communication is primarily accomplished informally throughout the day (96%).

From the above responses, it appears that principals value staff input and collaboration, yet still appear to assume the majority of decision making and supervision tasks. Perhaps this is an indication of the external structures and organization of most elementary school buildings, where time for collaboration and discussion is at a minimum due to teachers spending practically all of their time in the classrooms with students. Efforts made by school systems to facilitate such collaboration would most likely result in an increase of staff input and responsibility toward the success of their school buildings. Although this can be difficult to arrange,

creative use of substitutes, grant funds, and internal
scheduling could help expedite this goal of grater staff
participation.

Survey Findings by Gender

After examining the data for salient information, it
appeared that because of some demographic differences in
the populations it might be interesting to contrast the
responses of the male and female respondents. As can be
seen in Table 28 (Chapter IV, page 91), Female principals
come to the principalship with more teaching experience,
are younger, and have significantly less administrative
experience than males. There is little difference,
however, in educational degree status or the kind of
schools and municipalities in which they work.

In regard to the question I, which explored attitudes
and knowledge toward change, women principals felt a bit
more strongly that change originates from government
mandates or district policies. There were significant
differences also in regards to women more strongly agreeing
that monetary incentives are needed to effect change and
that change in schools must be directly related to school
and district goals. Other areas of significant differences
between men and women concerned change only taking place
when teachers believe in the innovation. Female principals
again felt significantly more strongly about this. The

question "change need a comprehensive planning component"
was also seen as more important by females.

Regarding Question II, which surveyed concerns and
knowledge of adult learning styles, life-cycle issues, and
psychological needs: The only area of any significant
difference concerned principal's perception about whether
both men and women teachers respond to change similarly.
Both men and women were more close to neutral with this
question with women disagreeing more than men.

In regard to Question III, or survey of leadership
styles, there were no significant differences between men
and women on all questions except regarding rank ordering
leadership skills important for facilitating change. Men
were significantly higher in their ranking of consensus
making and managerial skills. Women were significantly
higher in their ranking of coaching, modeling, and
empowering staff.

Question IV, which concerned the working climate of
the building, saw only one significant difference in
responses: Women agreed more with the statement "There is
not enough time to process decisions in an open and
democratic manner."

In general, there was no great difference between the
way men and women responded to the survey, particularly in
regards to leadership style. Women did value monetary
incentives more; perhaps historical differences in women
receiving less pay for work might have influenced this

response. Men and women principals showed some difference in their valuing of particular leadership skills; however, they were pretty much in agreement in what was important (empowering staff and consensus making were important for both genders).

The fact that there were no great differences in the responses of male and female principals surveyed indicates support for Bass's (1981, p. 500) contention that, "once legitimized as a leader, women actually do not behave differently than men." Another consideration may be that elementary principals work primarily in buildings staffed by women. This environment could have some effect on the way the male principals responded to the survey, and thus affect the differences in the comparison of responses by gender. The work of an elementary school differs from that of middle or secondary schools. The curriculum and the atmosphere might be described as more child centered. Perhaps this environment might foster leaders who have a more common perspective. Elementary school buildings are greatly influenced by women. Perhaps the men who lead them share some of these perspectives and therefore do not differ that greatly from their female counterparts in their leadership style.

Contrast of Leadership Style with Selected Research Questions

In reviewing the data, it was felt that contrasting question 58 (I describe my leadership styles as: A.

Directive, B. Collaborative, and C. Democratic) with certain questions regarding leadership tasks (Question 59), planning of staff meetings (Question 61), and supervision of staff (Question 63), might give some information regarding whether principals in the contrasting styles operated with any significant differences in their buildings. The findings indicated that there were no significant differences between how principals who described themselves as democratic worked with staff versus those who described themselves as collaborative. Unfortunately, the directive style could not be compared because there was only one respondent who agreed with this determination.

It appears, therefore, that the majority of principals who describe themselves as either democratic or collaborative in their leadership style do not operate in their daily tasks with any significant differences. This finding might arise from the fact that the two descriptions appear to be very close in meaning to the respondents and might not describe a great variation in style. Since the directive style was so overwhelmingly rejected, comparisons of styles on further ends of the continuum could not be made. Most principals in the state of Massachusetts may see themselves as very similar in style and methods, or the differences in the categories offered by the survey may not have been clear or well defined enough.

Narrative Comments

Respondents were given the option of adding any additional comments they desired at the end of the survey. Section V of Chapter IV lists the comments and the gender, degree status, years of administrative experience, and school and town population of each respondent. Sixteen principals did take the time to write some interesting and telling comments. Points emphasized included: the need for communication and collaboration with staff and parents; problems generated by the Educational Reform act of 1993; frustration with unions; central office mandates; bureaucracy; resistant staff; the importance of setting visions and goals; the demands of the job; and how age or gender should not have a significant effect on the ability to accept change.

In general, it was seen from the comments of the respondents that they are thoughtful, knowledgeable, and basically optimistic people who feel the frustration of dealing with State reform initiatives, which place much responsibility on principals with little protection, and other bureaucratic stumbling blocks such as Central office mandates and unions.

Conclusions

From this look at a sample of elementary principals in Massachusetts, several trends emerge. Principals' knowledge of change in schools basically concurs with much

of what the research has shown us. That is, they understand the need for change and see the importance of their role in effecting innovative practices; they value teacher input and agree that the basic unit of change is the individual not the institution.

Principals' knowledge and appreciation of adult learning styles, life-cycle issues, and psychological needs indicated that they appreciated these areas. They agreed there were some differences in working with staff who differed in age, gender, or experience, but felt that these differences were not of great significance. Mentoring was not seen as a particularly effective change method. Principals surveyed felt much responsibility for designing effective change projects which can be tailored to teacher growth needs, but were not as eager to suit them to individual personal needs. They felt their input was more important at the implementation phase of an innovation than at the initiation phase. They also showed a willingness to work with and affect those teachers who may have become resistant or disenchanted with change in their teaching.

Principals see themselves as effective in leading change projects in their schools, and practically all indicate a support of a participatory, democratic, collaborative form of leadership. Virtually none see themselves as directive. They value collaborative planning and consensus making, yet feel certain decisions do stay with the principal (individual personnel issues and staff

supervision particularly). They also value empowerment of staff and rank directing staff and management skills lower on the continuum.

Principals value their buildings having a good working climate, yet do not always have the time to process decisions in a democratic way. Although they invite staff participation and input, they do most of the staff supervision and see themselves as being most responsible for setting visions and goals.

Men and women principals vary a bit in their demographic profile, with women being a bit younger and having less administrative yet more teaching experience. Although both men and women valued empowerment of staff and consensus making as the most important leadership skills, women ranked empowering staff number one and consensus making number two. Men reversed this order for these skills. Women also saw more of a need for monetary incentives for staff and comprehensive planning. They placed more emphasis on congruence of school goals with district goals, and that change projects' origination should be government mandates and district policies. Men and women differed in their responses to male/female response to change, with women in more disagreement of any differences. Women also felt that it was more difficult to find the time to process decisions democratically.

There did not appear to be any significant difference in how principals who described themselves as either

collaborative or democratic operate on a daily basis in their buildings. Since only one principal described himself as directive, no comparisons were made with that style.

In comparing principals to the earlier described models of Transformation, Transactional, and Hierarchal, a description of Massachusetts elementary principals emerges which rejects Hierarchal and embraces elements of both Transactional and Transformational. The profile of a transformational principal who develops norms that promote collaboration, facilitate joint planning, share leadership tasks, promote a professional school culture, foster teachers growth, empower and respect teachers, work towards consensus as a dominant decision-making skill, and take the time to get to know the particular interests and skills of their staff, is reflected in many of the responses to the survey. Even if these skills and values are not being fully implemented by elementary principals in Massachusetts, it seems evident that they are at least aspired to. The Transactional skill of using incentives is seen as useful also.

The following statement describes these attributes of good leadership in a simple form:

> Good Leadership consists of motivating people to
> their highest levels by offering them
> opportunities, not obligations. The greatest
> administrators do not achieve production through
> constraints and limitations. They provide
> opportunities. . . . The wise leader knows that
> the reward for doing the work arises naturally
> out of the work. (Heider, 1985, pp. 135 & 161)

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Recommendations

The study presented in this dissertation attempted to gather a knowledge base and attitudes of Massachusetts Elementary principals toward change in their building and their leadership role in it. Such information could be useful for planning leadership training for principals either pre- or post-service. A suggested pre-service training is presented in Figure 6. This information would be invaluable to any one desiring to enter the principalship as it would provide for them an essential knowledge base for leading change.

Post-Service Training

Workshops and training could be developed using the above work. They should be based upon demonstrated needs of current principals and designed with particular audiences in mind. This training would be offered for re-certification Professional Development Points. For example, using the results of this survey, workshops could be designed which would increase principals' knowledge of designing staff development programs which could be

<u>Principal Pre-Service Training</u>
        A course could be developed which would include the
following elements:

Change Theory as it Relates to School
  <u>Research by</u>:
   Rand
   Fullan
   Hall
   Senge
   Deal and Kennedy

Adult Learning Issues

Psychological States
   <u>Research by</u>:
    Maslow
    Erikson
    Levinson
    Loevinger
    Kohlberg
    McKibben and Joyce

 Teacher career cycles
   <u>Research by</u>:
   Arin Krupp
   Leithwood
   Levinson

Gender Issues
  <u>Research by</u>:
   Sheehy
   Gilligan
   Eagley, Karau, & Johnson

Leadership Style and Building Climate
  Leadership models
    Transformational
    Transactional
    Educational
    Hierarchal
    Situational

  <u>Research by</u>:
   Avolio and Bass
   Burns
   Fullan
   Leithwood
   Sergiovanni

Figure 6   Principal Pre-Service Training

tailored to individual buildings; allow a more
comprehensive study of change in school (Fullan's work in
particular); and study in more depth the concepts of
Transformational Leadership (Leithwood, Sergiovanni,
Saphier, and Senge's work).

Further Research Directions

Elementary principals vary in their profiles and
school structures. A similar survey of high school
principals would be of interest for comparison. A survey
which could be done with the staff of respondent
principals' buildings would also be most beneficial to
determine if teachers perceive principals as leaders the
same way the principals perceive themselves.

More in-depth study of leadership issues in regards to
gender would be valuable also, particularly at the high
school level where there would be many more male staff, and
most likely less female principals. A study of leadership
and gender at the superintendent level would also be
fascinating since only five percent of women fill that role
(McGrath, 1992).

A study which could determine if the way principals
describe themselves as leaders is actually the way they
operate in their buildings would be useful also. The
social desirability factor could have gotten in the way in
this study.

APPENDIX A

COVER LETTER

WEST STREET ELEMENTARY SCHOOL
14 WEST STREET
GRANBY, MASSACHUSETTS, 01033
Tel. 413-467-9235 • Fax. 413-467-3909

LINDA E. DRISCOLL
Principal

March 14, 1995

Dear Colleague,

I have been an Elementary Principal for nine years and am currently completing the requirements for my Doctoral dissertation in Educational Administration. I am conducting a research study of the Elementary Principal's role in Building Based Change. You were selected in a random sample of Elementary Principals in Massachusetts to be included in this study.

Due to national restructuring movements and the recent passage of the Massachusetts School Reform law, much responsibility is now being assigned to building principals to lead and manage these changes. Much of the research I have done indicates that the principal plays a vitally important part in the process of improvement and growth in the school building.

My study will investigate the dynamics of leadership styles and attitudes of principals and contrast this information with what has been illustrated in the research literature to be effective change principles. I hope that the results of this survey will yield information that will be useful to principals in their leadership of change projects in their buildings.

The enclosed survey should take you about twenty minutes to complete. I certainly understand the time constraints you are under as a principal, and am very appreciative of your participation. It is requested that you return the survey in the enclosed envelope within five days. The responses will be completely anonymous unless you choose to complete the optional final page of the survey. Any numbering of responses is to facilitate follow up. In no way will results be identified with an individual or school.

Thank you in advance for your assistance.

Sincerely,

Linda E. Driscoll

APPENDIX B

SURVEY INSTRUMENT

ELEMENTARY PRINCIPAL SURVEY

LEADERSHIP ROLES IN BUILDING BASED CHANGE

DEMOGRAPHIC INFORMATION

Your answers to the following questions will help in the analysis of the data collected in this survey. Your information will be compared with other educators responding to this survey and contrasted with information derived from recent educational research concerning leadership roles in school change.

1. Please indicate your:

    Gender   M_____   F_____
    Age   _____   _____

2. Check the highest degree level you now hold:

    _____Bachelor's Degree
    _____Master's Degree
    _____CAGS
    _____DOCTORATE

3. Check the choice that describes the number of years you have had in <u>teaching</u> (count all the teaching positions)

    _____1-5   _____16-20
    _____6-10   _____21 or more
    _____11-15

4. Check the choice that describes the number of years experience you have held in any <u>administrative</u> position.

    _____1-3   _____11-15
    _____4-5   _____16-20
    _____6-10   _____21 or more

5. Check the choice that describes your school population.

    _____less than 100   _____301-400
    _____101-200   _____401-500
    _____201-300   _____over 500

6. Check the choice that describes the population of the city or town in which your school is located.

    _____under 1000   _____5,001-10,000
    _____1,001 to 2,500   _____10,001-50,000
    _____2,501 to 5,000   _____50,000-250,000
                                       _____over 250,000

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The following statements concern knowledge and attitudes toward change in schools. For each statement please indicate the extent to which you agree or disagree. There are five possible responses.

Strongly Disagree   (SD)
Disagree   (D)
Neutral or Undecided   (N)
Agree   (A)
Strongly Agree   (SA)

STATEMENTS   RESPONSES

Change in Schools:

1. is exciting.   SD D N A SA

2. is inevitable.   SD D N A SA

3. is initiated by the need to   SD D N A SA
   solve problems

4. is based upon recent educational   SD D N A SA
   research

5. is usually introduced by
   individual teachers.   SD D N A SA

6. is often set in motion by grant
   initiatives or other available
   fund sources.   SD D N A SA

7. originates from government mandates
   or district policies.   SD D N A SA

8. is usually started by administrators.   SD D N A SA

9. needs majority staff involvement and
   commitment.   SD D N A SA

10. needs focused and pertinent staff
    training opportunities.   SD D N A SA

11. needs monetary incentives.
    (staff stipends etc.)   SD D N A SA

12. must be directly related to school
    and district goals.   SD D N A SE

CHANGE IN SCHOOLS:

13. is most successful when local
    adaptations to innovations
    are developed   SD D N A SA

14. is often a lengthy process
    lasting as much as five years
    for implementation.   SD D N A SA

15. is more successful with training
    by outside experts.   SD D N A SA

16. is very much impacted by the attitudes
    and concerns of teachers.   SD D N A SA

17. is often stressful.   SD D N A SA

18. is often unnecessary and set in motion
    by fads or the latest educational
    experts' research.   SD D N A SA

19. only happens when teachers
    believe in the innovation.   SD D N A SA

20. is dependent in a great part upon the
    involvement of the building principal. SD D N A SA

21. is more a product of individuals than
    institutions.   SD D N A SA

22. is often initiated successfully by
    individual teachers upon return from
    workshops or sabbaticals.   SD D N A SA

23. is aided by piloting small projects
    in a building.   SD D N A SA

24. is accomplished by replicating
    successful projects from other schools. SD D N A SA

25. needs a comprehensive planning
    component.   SD D N A SA

26. is often unnecessary   SD D N A SA

B. KNOWLEDGE AND ATTITUDES TOWARD ADULT LEARNING STYLES, LIFE CYCLE ISSUES, AND PSYCHOLOGICAL NEEDS.

Statements in this section concern knowledge and attitudes towards adult learning styles, life cycle issues and psychological needs. Please continue using the same rating scale.

27. Teachers respond to change more positively in the earlier years of their career.   SD   D   N   A   SA

Beginning teachers are interested in:

28. "how to" methods of curriculum change.   SD   D   N   A   SA

29. personal growth.   SD   D   N   A   SA

30. collegial sharing.   SD   D   N   A   SA

Experienced teachers are interested in:

31. "how to" methods of curriculum change.   SD   D   N   A   SA

32. personal growth.   SD   D   N   A   SA

33. collegial sharing   SD   D   N   A   SA

34. Teachers feel favorable about the mentoring model of teacher change.   SD   D   N   A   SA

35. Both women and men teachers respond to school change in a similar manner.   SD   D   N   A   SA

36. It is difficult to initiate change in a building with a more mature, experienced staff.   SD   D   N   A   SA

37. Change projects should be designed with varying staff development models to suit individuals or groups of staff.   SD   D   N   A   SA

38. Teachers should be able to adapt to a quality staff development model at any time in their careers.   SD   D   N   A   SA

39. Knowledge of a teacher's personal needs is important to the designing of an effective staff development project.   SD   D   N   A   SA

40. Principals have little effect
    upon staff who are resistant
    to change.   SD   D   N   A   SA

41. A Principal's time is better spent
    supporting staff who are actively
    involved in school improvement.   SD   D   N   A   SA

42. It is primarily the principal's
    responsibility to initiate
    building based change.   SD   D   N   A   SA

43. Staff Development Programs
    are more successful when they
    are individualized.   SD   D   N   A   SA

44. Attitudes and beliefs surrounding
    a change project most often are
    formed after implementation.   SD   D   N   A   SA

45. It is the principal's
    responsibility to insure the
    continuation of change
    in the school.   SD   D   N   A   SA

C. EFFECTS OF LEADERSHIP STYLE AND BUILDING CLIMATE ON BUILDING BASED CHANGE

This section of the survey relates to how leadership style
and building climate effect building based change. Please
continue with the same rating scale.

46. Projects are completed more
    efficiently when leadership roles
    are clearly defined.   SD   D   N   A   SA

47. A Principal's role in the
    building is foremost that
    of a manager.   SD   D   N   A   SA

48. It is essential that all
    members of a school building
    be involved in all decision making.   SD   D   N   A   SA

49. There are times when decisions
    should be solely made by
    the principal.   SD   D   N   A   SA

50. Programmatic decisions should
    be made in an open and
    democratic manner.   SD D N A SA

51. There often is not enough time
    to process decisions in an open
    and democratic manner.   SD D N A SA

52. It is essential that collaborative
    planning be emphasized in all change
    projects to ensure success.   SD D N A SA

53. It is the Principal's role to set
    visions and goals regarding
    change projects.   SD ·D N A SA

54. A high powered, charismatic
    principal can affect lasting
    change on his or her own
    through skill and perseverance.   SD D N A SA

55. A Principal is most effective when
    practicing participatory leadership.   SD D N A SA

56. The working climate of a building
    is a very important element in the
    change process.   SD D N A SA

57. I see myself as being effective in
    my role as change agent in my school.   SD D N A SA

D. <u>LEADERSHIP STYLE AND BUILDING CLIMATE</u>

This section asks questions regarding leadership style and
building climate. Please answer by circling your preferred
response(s) as noted in each question.

58. I describe my leadership style as: (choose one)

    A. Directive
    B. Collaborative
    C. Democratic

59. I feel that decisions should be made <u>solely by me</u> in the following situations: (choose all which are applicable)

    A. individual personnel issues (eg. chronic tardiness)
    B. Budgetary issues
    C. Final curriculum approval
    D. Choosing texts
    E. Building Maintenance issues
    F. Scheduling
    G. hiring of staff
    H. Discipline of student chronic offenders
    I. Parent complaints
    J. Special Events-(Spelling Bee, Open House etc.)
    K. Staff Supervision
    L. Agenda for Staff Meetings
    M. None of the above

60. Most decisions in my building are made in the following manner: (choose one)

    A. Through reaching consensus
    B. By the principal
    C. Democratic process
    D. Through Committee recommendation

61. Staff meetings in my building are planned by: (choose one)

    A. the principal
    B. the staff
    C. the principal with input from the staff
    D. the staff with input from the principal

62. Staff meetings are held: (choose all applicable)

    A. only when allowed by the terms of the teacher contract
    B. at least weekly
    C. when deemed necessary by the principal or staff
    D. other _____

63. Supervision of teachers is done by: (choose all applicable)

    A. the principal
    B. other colleagues
    C. other supervisors (department heads etc.)
    D. other _____

64. In my building, teachers primarily communicate with the principal, (choose one)

    A. through scheduled meetings
    B. informally through the school day
    C. through written correspondence

65. Please rank the following areas in order of their importance as leadership skills necessary for facilitating change.
    (1=most important and 8=least important skill)

    A. consensus making   ( )
    B. Directing projects   ( )
    C. coaching   ( )
    D. modeling   ( )
    E. organizational   ( )
    F. empowering staff   ( )
    G. managerial   ( )
    H. resource person   ( )

END OF SURVEY
THANK YOU

ADDITIONAL COMMENTS:

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OPTIONAL

If you wish to receive results of this survey please
complete the following information.

Name:_____

Mailing Address_____

_____

APPENDIX C

FOLLOW UP POSTCARD

Dear Colleague,

Recently I mailed you a survey, " The Principal's role in Building Based Change". Your response would still be most appreciated and helpful.

Thank you for your help and consideration.

Sincerely,

Linda E. Driscoll
Principal
West St. School, Granby,Ma. 01033

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