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Implementing the vision of the high school principal

Tillman, Jean B., Ed.D.

The University of North Carolina at Greensboro, 1991

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IMPLEMENTING THE VISION OF THE
HIGH SCHOOL PRINCIPAL

by

Jean B. Tillman

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

Greensboro
1991

Approved by

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APPROVAL PAGE

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3/19/91
Date of Final Oral Examination

TILLMAN, JEAN B. Ed.D. *Implementing the Vision of the High School Principal*. (1991) Directed by Dr. Charles M. Achilles. 240 pages.

The purpose of this study was to identify the characteristics, behaviors, and strategies used by three North Carolina principals in the implementation of their visions of the effective high school.

The selected population was composed of those schools nominated by North Carolina for recognition by the 1988-1989 Secondary Schools Recognition Program (SSRP). This descriptive, *ex post facto* study of three one-shot case studies used content analysis of the SSRP nomination form as a foundation. This analysis was supplemented by data from the School Climate and Context Inventory (SCCI), three on-site visits to each school for the purpose of interviewing school community members and observing the principal in action within that community. All data were analyzed in light of information gleaned from a review of the literature related to effective high schools, the role of the principal, vision, change, and exemplary schools.

The study data identified 45 characteristics, behaviors, or strategies used by the selected principals in implementing their visions of the effective high schools. Six conclusions were drawn for use by principals in implementing their visions for their high schools.

ACKNOWLEDGEMENTS

This study marks a milestone in my search for excellence. It could not have been attained without the assistance, encouragement, and strong support of others.

I appreciate the assistance given by my Dissertation Committee, Bert Goldman, Harold Snyder, and John VanHoose. I want to especially express my appreciation to my Committee Chair, Charles Achilles, who was a patient and concerned mentor. I shall always strive to meet his expectations.

I appreciate the positive support given by friends, classmates, and professional colleagues. I would like to thank the principals and faculties of the three schools involved in this study for sharing their lives with me.

Finally, I want to express my sincere appreciation to my husband, John, for shouldering more than his share of the family responsibilities during these past several years. His support made reaching this goal possible. I also wish to thank my sons, Ray and Scott, for their unwavering confidence that I would finish this task, and for their understanding and patience.

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CHAPTER 1 INTRODUCTION

Background

The National Commission on Excellence in Education's report, *NATION AT RISK* (1983), identified thirteen indicators to confirm the nation's at-risk status (pp. 8-9). This report targeted effective leadership as the most promising tool of reform (pp. 15-16).

In its 1988 monograph, *CHALLENGES FOR SCHOOL LEADERS*, the American Association of School Administrators (AASA) reminded us that John Gardner, former Health, Education and Welfare (HEW) Secretary, identified a "...heavy emphasis on the intangibles of vision..." (p. 7) as one of his six special characteristics of effective leaders.

This is the same message heard from Tom Peters (1988) in his National Association of Secondary School Principals (NASSP) interview. Peters pointed out that one of the key characteristics of a successful school leader must be the ability "...to create an exciting vision about what an institution can be..." (p. 37).

Peters (1986) established his meaning of vision as "...the ability to paint a picture, to describe an attractive future that gets other people turned on" (p. 37). Peters demanded that the leader have the courage "...to construct the easy-to-specify, tough-to-execute, building blocks of excellence..." (p. xix) in her own unique setting. According to Peters, this vision is composed of those "...tiny bases for differentiation—i.e., a small but measurable difference that is the winning edge..." (p. 45). This is the same necessary vision that Bennis (1985) saw as "...a realistic, credible, attractive future for the organization, a condition that is

better in some important ways than what now exists" (p. 89).

In order to improve the nation's schools we must have leaders who are able to dream the dream of academic excellence that can be attained through articulation and implementation. Many educational leaders can tell us about what they would like to see come to pass in our nation's schools. Few educational leaders can actualize their visions and lead schools to the reality of academic excellence. Those leaders who are successful in the articulation and actualization of their visions of academic excellence should be the focus of intensive research to determine how they have been able to accomplish this difficult task. If "Excellence is a game of inches..." (Peters and Austin, 1985, p. 53), we must be able to pinpoint that which can make the critical difference between minimally effective schools and excellent, effective ones.

Purpose of the Study

The purpose of this study was to answer selected questions related to HOW successful principals implement their visions of the effective high school. Through this study the researcher sought to identify those characteristics, behaviors and strategies that are the catalytic essence of leadership that makes vision actualization a reality in some schools.

Throughout this study the term "effective high school" refers to a public school containing grades 9-12 or 10-12, that has been selected by the North Carolina State Department of Public Instruction (NCS DPI) for nomination to the 1988-89 Secondary Schools Recognition Program's (SSRP) national review panel. Objectives of this study were to:

1. review recent available literature related to effective high schools,

- effective principals, vision, and the change process as they relate to a principal's leadership;
2. establish vision components that were articulated by principals of the three North Carolina (NC) high schools nominated as worthy of recognition by the Secondary School Recognition Program for the 1988-1989 school year;
 3. determine methods of vision articulation and implementation declared to be successful by principals of the sample high schools and confirmed through observations and interviews;
 4. identify commonalities among the vision articulation and implementation methods used by the three principals of the sample high schools; and
 5. draw conclusions as to the most consistently used, successful techniques employed by selected principals to implement their visions of the excellent high school.

Research Questions

The research questions selected for investigation reflect the researcher's interest in the articulation and implementation strategies that resulted in actualization of that principal's vision of the excellent high school. The questions explored were:

1. What are the effective school's research finding concerning articulation and implementation of the high school principal's vision?
2. What are the major components of the sample effective high school principals' vision?

3. What characteristics, behaviors, and strategies have been used by the sample principals to articulate and implement their visions of the effective high school?
4. What commonalities can be discerned among the characteristics, behaviors, and strategies valued and used by the sample principals?
5. What specific characteristics, behaviors, and strategies can be recommended to principals for use in implementing their visions of the effective high school?

The fifth question served as a focal point around which to synthesize the findings for the first four questions. In responding to this last question the researcher developed the discussion and conclusion material that is the core of Chapter 5 of this study.

Significance of the Study

Through this study, the researcher sought to establish a clear understanding of the essence of leadership by summarizing information from recent studies related to effective schools, the effective leader (principal), the change process and vision. The goal of the study was to establish how the selected high school principal implemented this vision of the effective high school. Only when researchers have accumulated an album filled with carefully developed snapshots of many principals, successfully leading a variety of schools, using a range of leadership styles, will we be able to define more clearly “how” educational leadership occurs. The three case studies added additional snapshots to those previously gathered. This study probed the organization, climate, interactions and relationships among students, staff, and community, as

well as the motivational techniques at work in the three selected NC high schools. This process provided concrete data through specific examples from selected schools that were recognized by the NCSDPI as being effective schools.

The emphasis of this research study was to define those strategies which have been demonstrated to be successful in establishing that which is positive, leaving the medical model of curing the illness of weak high schools to those pursuing other avenues of research.

Study Design

In order to explore how principals actualized their visions of effective high schools, the researcher employed a descriptive, ex post facto inquiry that rested upon the framework of the Secondary Schools Recognition Program's (SSRP) nomination criteria. These criteria are listed in the nomination form, and have been derived from the stream of effective schools research. A dual approach which embraced qualitative and quantitative facets was employed. In addition to the SSRP nomination form and the literature/research review, on-site visits were used to conduct observations, interviews, and to collect climate inventory data from teachers, principals, students, and parents. The three snapshots of living schools were augmented by hard data related to student outcomes, drop out rate, socio-economic status, and climate. This information was compared to the SSRP nomination form data for validation of that data.

Instruments

The researcher used several data sources as a way to verify, through triangulation, data collected and used in this study. First, the SSRP nomination forms, submitted to the NCSDPI were analyzed. These nomination forms

provided demographic, as well as philosophic data. The 1988-1989 nomination form developed through an evolutionary process. The original form evaluated "...five outcome measures and 14 attributes of success identified in current school effectiveness studies" (Corcoran and Wilson, 1986, p. ix). The six areas of the 1988-1989 form were validated as significant by previous effective schools studies. Leadership, teaching environment, learning environment, institutional vitality, parental and community support, and indicators of success are common threads of the effective schools research. The validity of the instrument rests upon the expertise of the blue ribbon committee which developed it and upon the effective schools research from which much of it derived. Reliability was estimated by the data derived conclusions drawn through the interviews, observations and climate inventory.

The School Climate and Context Inventory (SCCI) was administered at each school to a convenience sample of students, teachers, administrators and parents. The SCCI was originally developed in 1977 by William W. Wayson and later revised in 1979. Permission to use the instrument was obtained from the author. The inventory was modified slightly to accommodate the specific demographic information needed. For example, it was unnecessary to request participants to identify that they were in a high school setting rather than an elementary school since the sample includes only high schools. None of the 45 items was changed; all clusters were considered in the final analysis. The validity and reliability of this document had previously been established and verified by Achilles, et al. (1981) during a desegregation study in Delaware.

During three on-site visits to each site, the researcher conducted observations and interviews to enhance and validate data collected from

documents. The on-site visitations and interviews were conducted after the SSRP data had been secured and initially analyzed. Questions to be covered during the interviews on the second visit were prepared to clarify the information gathered from the SSRP nomination form and previous visits. In addition to this prepared core of questions, the interviews followed the lead of the principal, teacher, counselor, student, or parent being interviewed to allow the researcher to sample personal viewpoints that build a mosaic of a school. The perceptions of those interviewed were one focal point of this research. In preparation for the on-site visits and in-depth interviews, the researcher conducted one pilot test at a local high school, not in the study sample, to assess the visionary leadership of the principal. Various members of the staff were interviewed, as well as the principal, during the ten hour stay on campus. The major goal of this visit was to refine and validate the process and instruments to assure that they would uncover specific characteristics, behaviors, and strategies used to implement that principal's vision of an effective high school. Multiple site visits by the researcher, as well as one visit to each site by an outside researcher, contributed to the reliability for the observations and interviews in the actual study.

Data Analysis

Triangulation of data from several sources clarified the visions the sample principals had for their schools and allowed the researcher to determine the characteristics, behaviors and strategies used by these principals for articulation and implementation of their visions. Commonalities were identified and recommendations were made for successful vision actualization.

More than 30 studies were reviewed related to effective schools, effective

principals, vision, and the change process. The characteristics, behaviors, and strategies emphasized by the various studies were recorded and tallied. Those items found to be reported as important in three or more studies were included as part of the final evaluation instrument.

The researcher conducted a content analysis for each of the three schools' SSRP nomination forms, and organized data for ease of comparison and analysis. The researcher then supplemented the SSRP data with information obtained from observations and interviews. These new data were added to the SSRP columnar form for ease of analysis. Any characteristic, behavior or strategy identified as important to the articulation and implementation of the visions of all three site principals was recommended for use.

Sample Selection

This study required a purposive sample. Each principal and school have been consensually validated as effective schools by the state review panel for the SSRP. In addition, Dr. Bill Church, Deputy State Superintendent, has acclaimed them "...excellent schools, worthy of study and emulation" (Church, 1989). Church stated that the nominated high schools represented a variety of demographics, and leadership styles. He complimented all three principals in their successful efforts to improve the schools they lead. Three of the five schools nominated by the NCS DPI for the 88-89 SSRP met the selection criteria for this study and participated in the study.

Population Identification

This study targeted those North Carolina high schools (9-12 or 10-12) that were nominated during the 1988-1989 school year for the SSRP by the NCS DPI.

For a high school to be included in this study, the principal must have been in the leadership role for a minimum of three years at that school. This time frame was selected to help assure that results documented in the nomination form were products of the current principal's leadership. The NCSDPI nominated five high schools. Three of the five schools also met the following criteria: 1) the principal had been there at least three years prior to nomination, 2) the principal was still there at the time of the study, and 3) the principal and others at the site agreed to participate. To protect the identity of those in the study, no school or individual names have been used and no identifiable, site-specific data have been reported.

Limits

This study was limited in several ways. The biography of the researcher may have biased the study, since the researcher may have been unaware of certain internal assumptions that may have affected the study. Second, due to the prohibitive expense of long-term, on-site observations, these were limited to three days per site. Third, this study is not generalizable due to its ex post facto nature and the small sample size. The study included no inner-city or extremely small rural high schools, further adding to questions of generalizability. The ability to generalize from this study in the causal sense was not a goal of the researcher. Finally, the completeness of data gathered from the SSRP nomination forms, as well as the cooperation and openness of those observed and interviewed, had some effect upon the study.

Definition of Terms

Several terms used throughout the study have been defined for clarity. For the purpose of this study the term "effective high school" is used to refer to a

9-12 or 10-12 public school which has been selected by the North Carolina State Department of Public Instruction for nomination to the Secondary Schools Recognition Program's national review panel.

The term "climate" is used in this study to define those shared perceptions, values, or beliefs members of the school community hold concerning their school.

"Vision" is used in this study to define that mental image of the best possible future for the school to pursue in the best interest of the students and society.

Summary

This study sought to clarify the characteristics, behaviors, and strategies used by principals of three North Carolina high schools, nominated for recognition by the 1988-89 SSRP, in implementing their visions of the effective high school. Characteristics, behavior, and strategies found to be consistent across sites have been highlighted to assist others as they plow new ground in effective educational change through vision actualization.

Organization of the Study

The remainder of this study is divided into four major parts. Chapter 2 contains a review of the recent literature related to effective schools, effective principals, vision, and exemplary high schools. The purpose of the review was to focus upon the characteristics, behaviors and strategies used by principals of effective high schools to articulate and implement their visions of the effective high school.

Chapter 3 explains in detail the methodology used for this study. After a review of both quantitative and qualitative options, the researcher selected a mixed-method design using both quantitative and qualitative approaches. The study was ex post facto and employed a quasi-experimental design.

Chapter 4 presents the data collected as they relate to the first four research questions posed. After presenting the demographics of each school, each question was presented, followed by the data used to answer that question. The data presented results from a content analysis of each sample principal's SSRP nomination form, informations gathered through on-site visits and interviews. Additional data were gathered through use of the SCCI (Wayson, 1981).

Chapter 5 synthesizes and evaluates the data as a whole in order to allow the researcher to answer question five and to make recommendations as to the specific characteristics, behaviors, and strategies that are most commonly used by principals who have been successful in the articulation and implementation of their visions.

CHAPTER 2

REVIEW OF RELATED LITERATURE

Introduction

This chapter presents a survey of pertinent literature and research relevant to the study of how principals of North Carolina (NC) high schools, nominated for the Secondary Schools Recognition Program (SSRP), implement their visions of the excellent high school. This examination explores three types of literature: professional-normative, scholarly-normative and scholarly-descriptive. Professional-normative literature (Boyan, 1982, p. 23) was selected from a wide range of professional journals such as the NASSP Bulletin, Kappan, and Educational Leadership, as well as from interviews with professional educators. Reviewed literature did not rely solely upon quantitative research foundations, but presents a portrait of concerns, problems and realities as they exist in the professional lives of practitioners.

Scholarly-normative literature (Boyan, 1982, p. 23) was also reviewed. This literature often derives from the work of professors who either train educational administrators or are involved in original educational research. An ERIC search, using carefully selected descriptors, facilitated a survey of the literature in an effort to gain as broad a perspective as possible concerning the research base for this study.

The third type of literature, the scholarly-descriptive class, (Boyan, 1982, p. 23) includes directed studies, inservice materials, monographs, audio-visual materials and journals that focus upon a specialized area. Since scholarly-de-

scriptive literature is of a specialized nature, care was exercised in making appropriate selections restricted to the specific topics of effective schools, and what skills and strategies principals describe as being successful in the implementation of their visions of effective high schools. A general review of the effective schools literature preceded the focus upon high school studies. In some cases the studies reviewed a cross section of K-12 principals in both urban and rural settings.

The search for the components that comprise an effective school has been a central focus of intensive research for the past two decades. The Equality of Educational Opportunity Study (Coleman et al., 1966) provided evidence that "...the determinants of achievement lie chiefly outside the control of the schools..." (Block, 1985, p. 17). Coleman was convinced that "...when you look for differences in the effect of schooling between schools, it is difficult to identify school-related variables that account for the observed differences" (Austin, Oct., 1979, p. 11). Coleman's research brought a flurry of studies to question this initial finding that school resources had little effect upon student achievement.

Background of Effective Schools Research

The "...post-Coleman era of school effectiveness research" (Sirotnik, Spring, 1985, p. 136) attempts to identify and analyze schools that demonstrate consistent success in educating all children. Early studies clustered around urban elementary schools (Brookover & Lezotte, 1977; Edmonds, 1979; Weber, 1971).

The late Ronald Edmonds summarizes his findings concerning effective schools through his Five Factor Theory. This theory states that the following

characteristics or correlates exist in effective schools:

1. strong school leadership at the building level;
2. clear instructional goals;
3. a safe and orderly school climate;
4. high expectations for student success; and
5. frequent monitoring of student achievement. (1979, p. 17)

Austin (1979) analyzed the research of several state studies to establish which factors accounted for exceptional performance in schools. He concluded that:

...there is no single factor that accounts for a school being classified exceptional. These schools appear to have a critical mass of positive factors which, when put together, make the difference. (p. 12)

Five of the thirteen factors listed by Austin (1979) relate directly to the leadership of the principal. Austin also concluded that for some of these positive characteristics, "...differences seemed to be more pronounced in grades one to three than in grades four to six..." (p. 12). The search for ways to make schools more effective was fueled by the 1983 publication of the National Commission on Excellence in Education's report, *A Nation at Risk*. This report rocked the educational community with its indictment that "...the educational foundations of our society are presently being eroded by a rising tide of mediocrity that threatens our very future as a Nation and a people" (p. 5). The report expresses confidence that reform is possible through dynamic, effective leadership (p. 15).

In April of 1984 the Northwest Regional Educational Laboratory (NWREL) published a synthesis of current effective schooling practices. The report presented the effective schools findings in three areas: those effected at the classroom, school or district level. In reviewing those research-based recommendations that can be implemented at the local level, NWREL's staff delineated some characteristics of effective schools consistent with other studies. They

synthesized the following list of characteristics of effective schools:

1. an emphasis on strong instructional leadership by the administration;
2. high expectations;
3. fair and consistent discipline;
4. on-going evaluation of student performance for instructional improvement through individual attention to student learning focused upon avoiding or reducing student learning problems;
5. a clear instructional focus reflected in specific goals expressed through an articulated curriculum presented in an environment supportive of high levels of academic learning time; and
6. rewards and recognition given students and teachers for excellent performance. (pp. 3-11)

Steller (1988) summarizes the findings of the early effective schools research. Although Steller acknowledges that there are variations in the school effectiveness research, he highlights five factors that he sees as consistent across studies. These five factors are those originally proposed by Ronald Edmonds.

They are:

1. Strong instructional leadership by the principal
2. Clear instructional focus
3. High expectations and standards
4. Safe and orderly climate
5. Frequent monitoring of student achievement. (p. 14)

Critics of Effective Schools Research

The effective schools research is not without its critics (Corcoran & Wilson, 1986; Cuban, 1983; D'Amico, 1982; Firestone & Herriott, 1982; Stedman, 1987). A major concern among critics is the inconsistency among lists of characteristics of effective schools.

D'Amico (1982) reviewed four of the most often quoted effective schools research studies and concluded that while "...these authors' conclusions about

the characteristics of effectiveness seem similar, they do not match" (p. 61).

D'Amico questions the validity of selecting five characteristics, when the studies identify much longer and detailed lists of characteristics observed in effective schools. He emphasized that "...it is unclear what research was used to arrive at these five characteristics" (p. 61). Lezotte (1982), one of the researchers whose study was cited by D'Amico, countered that the effective schools research was not meant to be a recipe for effective schools, but a "...useful...framework for school improvement..." (p. 63).

Firestone and Herriott (1982) stated that future research will confirm their belief "...that the basic organizational structure at the secondary level may necessitate different approaches to improving effectiveness and even different definitions of effectiveness" (p. 51). Their research yielded evidence that:

Even the most charismatic principals may find it difficult to create consensus on instructional goals with ...the diversity that is built into the high school's departmentalized structure. (p. 52)

In their survey of approximately 50 schools, Firestone and Heroitt found high schools conforming:

...more to the picture of structural looseness suggested first by Bidwell and more recently by Weick and Deal and Celoitti than to the desirable pattern from the effective school literature. (p. 53)

This structural looseness reflects the high schools' departmentalization and larger size. Based upon this research, Firestone and Heroitt (1982) noted that the high school administrator more closely resembled the "...chief executive officer of a corporation..." than the "head coach" metaphor suggested by the effective schools research (p. 53). They found the concept of instructional leadership to be more realistically actualized at the high school level through the

principal's decisions in areas such as determining which teachers teach which courses (p. 53).

Purkey and Smith (1982) reviewed the effective schools research. They grouped the studies they reviewed by type in an effort to organize available data into clusters. They organized the studies reviewed into four groups: those studies that emphasized outliers at the positive and negative ends of the academically effective spectrum, case studies, program evaluation studies, and finally, comparative studies. After reviewing the effective schools research, Purkey and Smith concluded that an:

...academically effective school is distinguished by its culture: a structure, process, and climate of values and norms that channel staff and students in the direction of successful teaching and learning" (p. 68).

Cuban (1983) warned against accepting the "fuzzy" language of the effective schools movement. For example, such terms as "effective", "climate", and "leadership" did not carry unconditionally accepted working definitions. Results were often measured by "...test results in mostly low-level skills in math and reading" (p. 695). Cuban was also concerned that the body of effective schools research was being generalized to high schools although most of the research had targeted lower elementary grade, poor, urban, minority children.

Corcoran and Wilson (1986) expressed reservations concerning the early effective schools research. They warned that we must use "...caution in applying these [effective schools research] findings to larger and more complex secondary settings (p. 39).

Stedman (1987) stated that "...the only examples of effective schools are elementary schools" and warned that "...there is no guarantee that the practices that seem to produce effectiveness in elementary schools will work in the high

schools" (p. 223). Stedman sharply criticized the effective schools research as interpreted by Wilbur Brookover. Stedman believed that his new synthesis "...of the effective schools literature shows that the five- or six-factor formula cannot be substantiated" (p. 215). Stedman found that the effective schools research actually suggested a list of nine practices consistently found in effective schools. His list included:

1. Ethnic and racial pluralism;
2. Parent participation;
3. Shared governance with teachers and parents;
4. academically rich programs;
5. skilled use and training of teachers;
6. Personal attention to students;
7. student responsibility for school affairs;
8. an accepting and supportive environment; and
9. teaching aimed at preventing academic problems. (p. 218)

In searching the literature for studies relating the effective schools research specifically to high schools, one comes up woefully short in comparison to the voluminous works related to elementary schools. In addition, many of the critics of the effective schools research question its validity regarding the more complex setting of the high school. Only two of the 26 research reports reviewed in the 1985 Educational Research Service's Effective Schools: A Summary of Research, were related to high schools (Block, pp. 73-115).

Effective High Schools Research

In surveying the effective schools research related to the high school, one quickly notes the difficulty of separating the study of the effective high school from the study of the effective high school principal. The studies have been artificially divided based upon the degree of emphasis of each study. This re-

sults in the majority of the studies surveyed clustered with the principal studies.

In 1983, the United States Secretary of Education, Terrel Bell, established a national recognition program for secondary schools. Nominations for this program were to come through each state's chief education officer. Nominees were screened by a 15 member national panel. After finalists were selected, on-site visitations were scheduled. Each team used the same structured interview procedures at each site visited.

The protocol and the original application forms were, to a significant degree, implicitly shaped by criteria derived by the effective schools research. (Wynne, 1984, p. 86)

In a series of phone interviews with Jean Narayanon, Staff Director of the Schools Recognition Program, the researcher discussed the development of the Secondary Schools Recognition Program (SSRP) and the evolution of the data collection forms used at various points in the program. Narayanon stated that concern had been generated by the lengthy duplication of philosophical statements from school handbooks, coupled with the small amount of original comments received in the leadership section of the original nomination form. During the 1987-88 school year a committee revised the nomination document. Members of that committee were: Ronald Cartwright, Coordinator of the SSRP; Jean Narayanon; Jim Keefe, Director of Research for National Association of Secondary School Principals (NASSP); Bruce Wilson, Research for Better Schools (RBS); Robert Hendricks, Superintendent of Flowing Wells School District, Tuscon, Arizona; and Vera White, Principal of Jefferson Jr. High School, one of the previously recognized schools. The resulting nomination document "...reflected the current effective schools research" (Narayanon, 1989).

Personnel in the Office of Educational Research and Improvement (OERI) stated that attributes of effective high schools have been established through the SSRP. Five hundred seventy-one secondary schools had been recognized through this program as of 1986. ("Good Secondary Schools", 1986).

In an effort to assess the specific attributes of effective high schools, Corcoran and Wilson (1986) reviewed and analyzed data from over 500 schools recognized by the SSRP as exemplary during the first three years of the program's operation. They stated that successful schools require "...energy, commitment, and vision on the part of all who work in them" (p. 4). While acknowledging the methodological weaknesses of the effective schools research, Corcoran and Wilson emphasized that the strengths of this body of research were hard to refute.

It is important to remember that most of the studies have examined urban elementary schools serving low-income children and that the findings are merely correlations between school characteristics and student performance on basic skills. Yet, dozens of studies conducted independently have reached similar conclusions. Their findings also are consistent with the results of studies of effective teaching. And there are striking parallels between these findings about effective schools and the analysis of conditions in highly successful businesses. (p. 17)

As background for their study, Corcoran and Wilson (1982) analyzed the attributes of successful high schools studied by several researchers (Rutter et al., 1979; Coleman et al., 1982; Lightfoot, 1983). They found that even though terminology was somewhat different from study to study there was a "...pattern of research support for the importance of the 14 attributes of school success" (p. 18-22). These attributes were used in the identification of effective high schools in the SSRP. These attributes were:

1. clear academic goals;

2. high expectations for students;
3. order and discipline;
4. rewards and incentives for students;
5. Regular and frequent monitoring of student progress;
6. Opportunities for meaningful student responsibility and participation;
7. teacher efficacy;
8. rewards and incentives for teachers;
9. concentration on academic learning time;
10. positive school climate;
11. administrative leadership;
12. well-articulated curriculum;
13. evaluation for instructional improvement; and
14. community support and involvement. (pp. 2-3)

Corcoran and Wilson (1986) proposed that while the attributes of effective elementary and secondary schools may be similar, "...their meaning in practice may be quite different because of differences in goals, structure, and organization" (p. 18). They point out that the mission of the elementary school is student attainment of basic skills that will, in turn, be used at the high school level to achieve the mission of developing "...higher-order skills, mastery of content in the disciplines, and vocational preparation" (p.18).

Corcoran and Wilson (1986) found differing degrees of consistency among various attributes of effective high schools during their study. Some attributes were highly consistent among those schools recognized by the Secondary Schools Recognition Program. Almost all of these exemplary schools had well disciplined students who participated in both academic and extra-curricular activities. Rewards and recognition were used to reinforce positive student performance and behavior. When evaluated, these schools rated above average or exceptional in attention to academic learning time, climate, student and teacher attendance, community support and teacher efficacy (p. 33).

Corcoran and Wilson also found that other attributes varied widely from

effective school to effective school. These included:

...the presence and use of clear goals, monitoring of student progress, teacher rewards and incentives, administrative leadership, and evaluation for instructional improvement. (p. 33)

Several attributes of effective schools were difficult to analyze or were not completely assessed. These included:

...the degree of staff and community consensus on goals, techniques of monitoring of student progress, the actual articulation of the curriculum, the style and influence of the principal and the amount of parent participation. (p. 33)

Corcoran and Wilson (1986) found that site visitors to the selected effective schools confirmed common attributes of success. These related to recruiting and maintaining outstanding teachers and administrators, fostering a positive school climate for faculty and students, and having a group of good students who acted as positive peer role models (p. 34).

Corcoran and Wilson (1987) used the term "portrait" to describe the fact that these schools "...differ qualitatively in their focus on the importance of people, their talents, their energies, and their relationships" (p. 35). They attributed success in the schools they studied to more than a listing of attributes. They preferred to organize the commonly-cited characteristics into clusters around nine themes that portrayed the effective secondary school.

The first theme discussed was "...a sense of shared purposed among faculty, students, parents, and community" (p. 22). The second theme revolved around the leadership of the school.

Parents, teachers, and students unanimously cite the principal as providing the necessary vision and energy in creating and maintaining conditions of success. (p. 23)

The third theme balanced the need for teacher efficacy with the

principal's need to exercise necessary organizational and instructional control (p. 23). The fourth theme addressed the need for school personnel to "...effectively recruit and hold...talented teachers and administrators" (p. 23). The fifth theme addressed rewarding teachers for positive accomplishments, while the sixth supported the need to value positive student-teacher relationships (p. 23). The two previous themes united to support the seventh theme, which was "...a positive school environment where students and faculty strive to achieve shared goals" (p. 24). The eighth theme centered upon the belief that:

...all students can be motivated to learn, accompanied by willingness among school staff to accept responsibility for enhancing learning opportunities for their students. (p. 24)

The final theme Corcoran and Wilson found significant in successful secondary schools was a "...high degree of involvement by parents and community members" (p. 24). While these themes remained overwhelmingly constant from excellent school to excellent school, the emphasis remained focused upon commonly supported proactive responses to the unique circumstances presented by the individual school setting.

The themes that Corcoran and Wilson described reflect the belief that:

...the specifics of school policies and practices may be less important than the work norms accepted by staff and students and the general ethos that unites them into a caring community of academic workers. (p. 67)

While not all attributes were equally strong across all 500 sample high schools, the "critical mass" of characteristics Austin (1979) spoke of was present in each school, without exception (p. 12).

The Principal as a Major Component of the Effective School

Several research projects were reviewed which sought to determine what

made one school more effective than another in spite of demographic similarities. While the emphasis was on high school principals, several studies generalized across grade configurations and did include some elementary schools.

Brundage (1980) studied schools in five states. After evaluating the data collected, Brundage concluded that effective schools had principals who were strong instructional leaders, had professional faculty with high morale, emphasized basic skills, believed all students could learn, developed a supportive school climate, and maintained high expectations.

Lipham's 1981 research yielded two important conclusions. He stated that "...effective schools have beliefs and attitudes that guide the behavior of staff and students" (p. 5). He also pointed out that "The management functions of the principal are important only as they facilitate and foster improvement in the school's instructional program" (p. 13). Lipham concluded that "Among the many variables examined, the leadership of the principal invariably has emerged as a key factor" (p. 2). In order to define effective schools, Lipham proposed that we "...focus on the behavior of the leader in-situation" (p. 8). The successful leaders Lipham studied provided "...direction to the school while at the same time supporting the efforts of others" (p. 9). Principals of effective schools were strong leaders who believed in their visions of high expectations, support of others, management through a team approach and exercise of "...directive and supportive leadership as the situation warrants" (p. 10). Lipham used the term "Improvement" synonymously with positive change.

Wynne (1981) deduced from his study of 140 schools that the ability of the principal to establish a sense of unity was the basis of any good schools. Wynne enumerated eight ways a principal established this sense of unity. When

hiring new faculty members, goals and expectations were clearly stated within the framework of the interview. Goals were clearly articulated so that all faculty members could focus their energy on attaining those goals. Good communication was imperative to articulate expectations of effective performance. Good communication regarding expectations resulted in consistently maintained discipline. Incentives were effectively used. Participation in extracurricular activity and school spirit supported cohesiveness within the school community.

Almost without fail, each research study reviewed targeted an effective principal as a necessary ingredient of an effective school (Austin, 1979; Brookover & Lezotte, 1977; Corcoran & Wilson, 1986; Edmonds, 1979; NWREL, 1984; Steller, 1988). In Phi Delta Kappa's (PDK) 1984 publication, The Role of the Principal, an overwhelming list of 148 traits of the effective principal were listed (pp. 2-3). Research findings indicated that if a school was to become more effective, it must have an effective, instructional leader in the principal's office. The National Commission on Excellence in Education (1983) recommended that the principal "...play a crucial leadership role in developing school and community support..." (A Nation at Risk, p. 32) for needed reforms. Adler (1982), on behalf of the Paideia Group wrote that the principal:

...should be a notably competent and dedicated teacher...[since the]...quality of teaching and learning that goes on in a school is largely determined by the quality of such leadership. (p. 64)

Adler contended that "Educational leadership by the principal is at present rare" (p. 64). The 1986 Department of Education publication, What Works, re-affirmed the effective schools research and put "vigorous instructional leadership" (p. 45) as the number one criterion for an effective school. The complex, unresolved question remains, how do principals achieve positive educa-

tional outcomes? How they bring about changes toward effectiveness is the underlying focus of this study.

Characteristics and Behaviors of Principals
In Effective School

A major thrust of the effective principal research is concerned with those characteristics and behaviors most often exhibited by principals of effective schools. The National Association of Secondary School Principals (NASSP) Assessment Program listed 12 dimensions of leadership effectiveness. These dimensions are:

1. Problem Analysis;
2. Judgment;
3. Organizational Ability;
4. Decisiveness;
5. Leadership;
6. Sensitivity;
7. Range of Interest;
8. Personal Motivation;
9. Educational Values;
10. Stress Tolerance;
11. Oral Communication Skill; and
12. Written Communication Skill. (Hersey, 1987, p. 2)

The principal must be mindful of front-stage performances. Goffman (1959) reminded us that "...if the individual's activity is to become significant to others, he must mobilize his activity so that it will express during the interaction what he wishes to convey" (p. 30). The principal must consistently present the proper setting, appearance, and manner in order to maintain high levels of confidence. "He must offer a show of intellectual and emotional involvement in the activity he is presenting..." (p. 216) if he is to be able to generate enthusiasm and commitment on the part of the members of the team.

Cotton and Savard (1980), after reviewing 27 studies, distilled specific

behaviors displayed by effective principals. Effective principals were consistently involved with classroom instruction, were able to communicate consistent expectations to the faculty, were fearless decision makers, and were actively involved in the planning, coordinating and evaluating of the instructional program.

Blumberg and Greenfield (1980) conducted on-site studies of eight principals nominated as effective by peers and university professors. They found consistent, common characteristics among the eight. These effective principals set clear goals [vision] and continuously worked to motivate all members of the school community to strive for their attainment. These principals demonstrated self-confidence. They had the ability to accept the merits of others' views of others, even though different from their own. They possessed sophisticated problem solving strategies, and high analytical abilities. They were sensitive to, but challenging of, the political power structure when change was needed. All of these effective principals were innovators who sought positive change in student outcomes.

Sweeney (1982) joined other researchers in the belief that the behaviors of the principal were the critical factor in school improvement (p. 204). Specific, active behaviors confirmed the principal as the effective, pro-active leader. These behaviors were tools used to implement the principal's vision of excellence within the school setting. During a 1989 Guilford County School System Principals' Inservice, Sweeney emphasized the need for the principal to set student achievement as a top priority, articulate a clear vision of the desired future state of affairs, and plan for its attainment through allocation of a variety of resources including time, energy, and funding. Sweeney consistently stated the need for

the principal to monitor indicators of student growth for feedback and plan modification. He emphasized that the effective principal pledged commitment to an orderly, receptive environment in which instructional time was protected.

Persell and Cookson, Jr. (1982) reviewed 75 studies to determine the characteristics that make one principal more effective than another. They concluded that there were nine behaviors consistently found in the studies as defining exemplary principals. Good principals:

1. demonstrate a commitment to academic goals;
2. create a climate of high expectation;
3. function as an instructional leader;
4. be a forceful and dynamic leader;
5. consult effectively with others;
6. create order and discipline;
7. marshal resources;
8. use time well; and
9. evaluate results. (p. 22)

Huff, Lake, and Schallman (1982) conducted an outlier study of 31 successful Florida principals. Their findings supported the previously cited findings of Blumberg and Greenfield. While the wording was different the same basic characteristics were apparent. They found effective principals had a clear mission [vision] with a commitment to the achievement of excellence through high expectations. These principals demonstrated risk-taking behavior through their commitment to secure needed resources to meet agreed upon goals. They found these principals used a participatory leadership style. The high performing principals of this study consistently demonstrated advanced abilities in the areas of problem finding, analysis and resolution. These qualities led these principals to goal attainment through successful change.

Purkey and Smith (1982) documented that effective schools had effective

leaders who held high expectations for student achievement. All members of the school community were focused on this goal. The principal, as the strong instructional leader of the school community, maintained and supported these high expectations. After a review of the effective schools literature, Purkey and Smith concluded that:

It is a school's culture resulting in a distinct climate composed of attitudes, behaviors, organizational structures, and so on, that is influential in determining the school's effectiveness. (p. 67-68)

Only in this type of environment could collaborative, effective change flow from the needs of the students within the school. The effective leader verbalized consistently high expectations that this type of environment would be established and maintained. This supported Austin's 1979 research, in which he stated two characteristics were consistently found in effective schools. These schools had a principal who was an expert instructional leader, and an instructional team that provided consistently high expectations for the children. This, as well as other cited research, points out that children tend to rise to appropriately high expectations set for them (p. 12).

Bossert, Dwyer, Rowan and Lee (1982) concluded that the behavior of the principal was paramount to the effectiveness of a school. Effective management was stressed as the basis of effective leadership by the principal. The authors listed four important leadership areas developed by the effective principal.

These areas were:

1. Sets and achieves instructional performance goals [vision];
2. Makes decisions with confidence while maintaining support of both the district level administration and the community;
3. Allocates more time dealing directly with the observation and improvement of teachers and instruction; and
4. Invests energy in assisting teachers achieve their goals and rewarding

such effort and attainment. (p. 62)

In 1983 Dwyer, Lee, Rowan, and Bossert completed case studies of five principals. In-depth interviews confirmed that the community context, as well as the expertise and beliefs of the principal greatly influenced the ability of the principal to lead. Some consistency was found across case studies. The principals in this study masterfully used interviews to articulate their visions when recruiting new staff members. The principal provided needed inservice training, actively involved the staff in planning, and visibly interacted with students.

Hager and Scarr (1983) emphasized many of the same characteristics as other researchers in their study of principals of effective schools. In addition to identified and articulated goals and high expectations, they concluded that the effective principal selected staff members with the utmost care, openly rewarded excellence, while pressuring incompetent teachers to leave the profession.

Dwyer (1984) conducted an in-depth study of 12 schools to determine exactly what principals did that made a difference in creating an effective school. He concluded that he had learned three important facts while working with these principals. First, he stated that he found no simple road maps to being a successful principal. Next, the context within which each principal led had a major effect upon the principal's success. Finally, improvement of instructions was always the result of improved performance in many routine areas. Principals' behaviors that were found to support these facts included high visibility, attention to details on a day to day basis, and the individual's ability to connect daily routine actions to the articulated vision of what the school should be.

Willower (1984) concluded in his study of improving schools and the principals that led them that principals were "culture builders" who creatively

used symbols, organizational structures, individual and organizational processes to nurture growth, and thus, excellence (p. 37).

Bennis and Nanus (1985) found a number of consistent behaviors and characteristics among the 90 leaders they studied. The leader determined what needed to be done and pursued that goal with an unyielding passion. Those leaders were persistently dedicated to the attainment of their goals. These good leaders knew themselves. They had a realistic understanding of their own strengths and weaknesses. They were able to capitalize on their strengths and make wise decisions regarding delegation of responsibilities to those within the organization with strengths in the leader's area of weakness. Bennis and Nanus found the effective leader to be a life-long learner who enhanced strengths and sharpened skills in areas of weakness. These leaders derived pleasure from their jobs. This type of enthusiastic leader attracted talented people, thus strengthening the organization. These strong leaders did not fear bright, aggressive subordinates. A positive result of this hiring philosophy was that these high quality people were more easily motivated to achieve the goals of the organization. The effective leaders of Bennis and Nanus' study possessed the human relations skills to get the job done with the cooperation of those within the organization. Those leaders were risk takers who focused upon the long-term gains more than the short-term risks. Failures were accepted by these leaders as learning experiences. Finally, these leaders were those who led through service.

Bennis and Nanus (1985) described the leader as one who placed effectiveness above efficiency and demanded leading above managing (p. 21). The leaders that these authors described see the relationship between leadership and empowerment as being the reciprocal of the relationship between management

and compliance. (p. 218) These leaders were committed risk-takers who did while others watched and wished. They committed themselves to "...the exposure and intimacy that most of us emotionally yearn for, rhetorically defend, but in practice shun" (p. 217).

Peters and Austin (1985) included a complete chapter on the topic of achieving excellent school leadership. They sing a modern version of Goffman's song of the importance of the presentation of the leader. "All of life is show business" (p. 344). According to Peters and Austin the characteristics and behaviors of dynamic leaders merge into a magic of "...passion, caring, intensity, consistency, attention, drama...implicit and explicit use of symbols—in short, of leadership" (p. 312). The leader pays attention since "...what gets attended to gets done" (p. 317). This attention is translated into symbolic behaviors. In fact they go so far as to say that "Leadership is symbolic behavior" (p. 318). This attention through symbolic behavior unfolds through carefully selected language, stories and pictures, as the living drama of the organization. "If we are serious about ideals, values, motivation, commitment, we will pay attention to the role of stories, myths, and pictures of our vision" (p. 331). More than the techniques of management are required; the leader must know what needs to be achieved and be able to articulate that vision clearly. "...symbols [are] vision made visible" (p. 472).

Peters and Austin (1985) saw leadership as being the same in schools as in industry. The essence of leadership was defined as "...Vision, energy, empathy, persistence, passion, attention to detail, and a picture of the goal" (p. 485). They contended that many leaders did not realize how good their organizations could be unless they have been:

...around that which works, which sings, which has rhythm, which has passion, which has enthusiasm, before one can understand just how broad the gulf is between not the winners and the losers (that's defeatist talk) but things that are humming and things that aren't. (p. 485)

The behaviors that Peters and Austin advocated were summarized in their term "coaching".

There is no magic; only people who find and nurture champions, dramatize company goals and direction, build skills and teams, spread irresistible enthusiasm. They are cheerleaders, coaches, storytellers and wanderers. They encourage, excite, teach, listen, facilitate. Their actions are consistent. Only brute consistency breeds believability; they say people are special and they treat them that way—always. You know they take their priorities seriously because they live them clearly and visibly; they walk the talk. (pp. 382-383)

These leaders bring all onto the team as contributing members, have confidence in them, develop them, and confront them with the challenge of excellence.

Russell, Mazzarella, White and Maurer (1985) conducted a study of 16 secondary schools in order to identify those behaviors most often associated with effective secondary schools. The result of this study yielded 202 effective behaviors associated with the achievement of eight often cited characteristics of effective secondary schools. These behaviors and characteristics were summarized by Jo Sue Whisler for the Mid-continent Regional Educational Laboratory. (no date shown)

1. School-wide measurement and recognition of academic success
 - A. Went beyond normal bounds to recognize academic excellence; and
 - B. Used standardized testing to assess student performance.
2. Orderly and studious environment
 - A. Was personally involved in establishing enforcing, and supporting the enforcement of discipline codes; and

- B. Directed staff and resources in support of consistent discipline.
- 3. high emphasis on curriculum articulation
 - A. Brought about the development of a scope and sequence for each curriculum area; and
 - B. Was both knowledgeable and interested in all areas of the curriculum.
- 4. support of instructional tasks
 - A. Supported teacher decisions; and
 - B. Provided resources and climate in support of instructional tasks.
- 5. high expectations with clear goals for the performance of students
 - A. Established school-wide challenging academic standards for students; and
 - B. Used counseling program to strengthen academic challenge for students.
- 6. collaborative planning with staff
 - A. Used active listening to varied ideas in the establishment of goals and programs; and
 - B. channeled energy and fund toward a collaborative environment.
- 7. instructional leadership for teachers
 - A. Provided support to eliminate less than effective instructional practices through active planning, and presenting of inservice opportunities; and
 - B. Exemplified best practice through hiring high performance, effective staff members.
- 8. Parental support for the education of students.
 - A. Involved parents and community in school activities through personal contacts; and
 - B. Established the expectation that direct, personal interaction between parents and teachers will be maintained. (pp. 21-22)

After reviewing a significant number of studies by different researchers one is struck by what Peters and Austin (1985) called "a blinding flash of the obvious" (p. 4). People make up organizations and are served by organizations. People must be a prime consideration in determining actions to be taken to

improve instruction within the school. The research consistently suggests that the difference between good schools and excellent schools was the leadership of the principal. Bennis and Nanus (1985) compared leadership to "...the Abominable Snowman, whose footprints are everywhere but who is nowhere to be seen" (p. 20). The authors discussed at length four strategies that the effective leaders they studied demonstrated. The leaders clearly focused on their vision for the organization. This vision was specific, attractive, attainable, and could be articulated to achieve commitment through focus.

The second strategy was one of communicating the vision so that it could be assimilated into the culture of the organization. The third strategy required that the leader develop a high level of trust, defined by the authors as "...the emotional glue that binds followers and leaders together. The accumulation of trust is a measure of the legitimacy of leadership" (p. 153).

The fourth, and final strategy, is related to learning. The ninety leaders the authors studied repeatedly "...talked about persistence and self-knowledge; about willingness to take risks and accept losses; about commitment, consistency, and challenge. But above all, they talked about learning" (p. 188). The authors see learning as: "...the essential fuel for the leader, the source of high-octane energy that keeps up the momentum by continually sparking new understanding..." (p. 188).

Corcoran and Wilson (1986) found that it was difficult to analyze and assess the style and influence of the principal specifically (p. 33). They did note that the principal was the person mainly responsible for the types of actions they pinpointed as positive in achieving effective schools. They stated:

It was usually the principal who set the tone, who was the prime force in

creating a positive climate for teaching and learning. Their commitment to excellence was a major force in their schools. [It was the principal] ...who provided the vision and the energy to create and maintain the conditions essential to success. (p. 39)

Austin (1979), Goodlad (1979), and Wayson (1988) admitted that there was still much to be done in understanding the role the principal plays in school effectiveness. We can state what effective principals do, "...but the process by which the climate and associated higher achievement came to exist is not documented by this [effective schools] research" (Austin, p. 14). Goodlad (1984) affirmed that "...small differences over a number of important variables..." (p. 12) make the critical difference in positive achievement for students. Wayson (1988) reminded us that excellence is achieved one school at a time and that "...achieving excellence ultimately depends on an individual's willingness to take action" (p. 214).

In summary, more than half of the studies reviewed have consistently targeted a small cluster of characteristics and behaviors found to be associated with the principals of effective schools. Many of the other studies, with a larger cluster of characteristics and behaviors, include many of the same factors as found in the studies with a smaller cluster of characteristics. The principals of these effective schools had a clear vision of what they wanted their school to be. The successful principal's vision was based upon student achievement being the top priority in the school. In order to be successful they clearly articulated that vision. These principals had a decisive leadership style built upon high expectations of success and achievement for students and teachers within the school community.

The remainder of this literature review focuses upon the importance of

the concepts of vision, the process of change that makes attainment of the principal's vision possible, and the development of a climate conducive to change. The final section deals with a limited number of examples of principals who have been able to effect change and establish an effective high school through vision attainment.

Vision

Recent authors have focused upon vision as one of the essential ingredients of successful leadership. When surveying the literature the term vision was referenced using the synonyms: new setting, mission, dream, best scenario, blueprint, agenda, outcome, focus, or goal. Naisbitt concluded in his 1984 best seller, Megatrends, with the statement:

...we have extraordinary leverage and influence —individually, professionally, and institutionally—if we can only get a clear sense, a clear conception, a clear vision, of the road ahead (p. 283).

Before change can be initiated to allow the principal to travel down this preferred road, she must have a clear, specific, workable vision for her school that is the focal point of resource and energy expenditures. Though Sarason did not use the term vision, he spoke in 1972 of creating settings comprised of "...dreams, hopes, effort and thought" (p. 272). The author defined a setting as "...any instance in which two or more people come together in new relationships over a sustained period of time in order to achieve certain goals" (p. 1). Sarason saw this "projected new setting" [vision] in which the leader viewed and experienced "...in a truly personal way...the near and far future picture containing the fulfillment of his personal and intellectual strivings" (p. 192).

Eisner (1979) supported the idea that a strong principal with vision and

the ability to carry out that vision made an enormous difference in a school (p. 59). Goodlad (1984) stated that the principal's vision was the beginning point for closing the educational gap "...between man's most noble visions of what he might become and present levels of functioning" (p. 57).

Persell and Cookson, Jr. (1982) referred to vision as a "mental picture" (p. 28) , and credited that mental picture with giving the principals the capacity to set and attain long-term goals for their schools; including strong achievement goals (p. 22).

Lightfoot (1983), in her award winning book The Good High School , insisted "...that an essential ingredient of good schools is strong, consistent, and inspired leadership" (p. 323). Lightfoot believed that the vision of the leader and the purposeful actions taken to support that vision defined the culture of the school.

Peters and Austin (1985) defined vision as "...the concise statement/ picture of where the company and its people are heading, and why they should be proud of it" (p. 334). They stated that the major concern "...is not...the substance of the vision, but the importance of having one...and the importance of communicating it consistently and with fervor" (p. 335).

Peters and Austin stated and restated the belief that customer satisfaction should be the yardstick of evaluation. This was acknowledged to be most difficult since satisfaction is almost always an intangible. To increase the likelihood of success, the authors recommended scraping away the layers of middle management that act as a buffer to change (p. 521). The model advocated included four interlocking points: people, customers, innovation, and leadership (p. 505). This interlocking ideal was reflected in the authors picture of the search for

excellence. They admitted excellence was a high-cost item demanding time, energy, and continual focus in order to establish the proper climate for success.

When you have a true passion for excellence, and when you act on it, you will stand straighter. You will look people in the eye. You will see things happen. You will see heroes created, watch ideas unfold and take shape. You'll walk with a springier step. You'll have something to fight for, to care about, to share, scary as it is, with other people. There will be times when you swing from dedicated to obsessed. We don't pretend that it's easy. It takes real courage to step out and stake your claim. But we think the renewed sense of purpose, of making a difference, of recovered self respect, is well worth the price of admission. (p. 496)

Bennis and Nanus (1985) repeatedly expressed the need for vision. They told us that "Vision grabs" (p. 28). "Vision animates, inspires, transforms purpose into action" (p. 30).

If there is a spark of genius in the leadership function at all it must be in this transcending ability, a kind of magic, to assemble—out of all the variety of images, signals, forecasts and alternatives—a clearly articulated vision of the future that is at once single, easily understood, clearly desirable, and energizing. (p. 103)

Manasse (1984) developed her idea of vision as a result of studying the effective principals research. She concluded that "...leadership implies change." It followed then that the effective principal was heavily involved in "...moving a school toward a vision of what could be rather than maintaining what is" (p. 44). Manasse suggested that two types of vision were needed if successful change was to take place. The principals must have a vision of what the excellent school should look like, as well as their role in attaining that vision. In addition, the principals must have a clear vision of the change process and how to use that process for vision attainment. These effective principals successfully:

...use rituals, symbols, slogans and selective centralization...[in order to]...remind people of the central vision, monitor its application, and

teach people to interpret what they are doing in a common language. (p. 46).

Over a period of several years Manasse developed a more global interpretation of the vision concept. She declared true visionary leadership to "...run counter to some of the effective schools based on a set list of characteristics and a set pattern of actions to implement" (1986, p. 152). She determined that "It is the existence of vision, out of which evolves strategy, that differentiates leadership from management..." (p. 152). Manasse's (1986) work summarized "vision" as being the "...development, transmission and implementation of an image of a desirable future" (p. 150). Manasse believed that this comprehensive, yet personally unique vision gave the organization life and defined the difference between excellent and competent organizations. According to the evidence, as she analyzed it, this vision was not the result of what people did, but in "...how they think about what they do, how they communicate how they think, and what they 'do' while they are 'doing' it" (p. 154).

Manasse (1986) defined four interacting components of vision: organizational vision, future vision, personal vision and strategic vision. 'Organizational vision' demanded a global perspective that encouraged appreciation of the interrelationship among the parts of the vision as well as the results of actions in one area upon operations in another. Manasse stated that in order for the principal to attain and maintain organizational vision she would engage in continuous learning. This required the visionary principal to constantly evaluate new data, adjust, and refine her vision (pp. 155-57).

'Future vision' went beyond the rational planning process of the manager to the creative construction of possible futures. Possibilities would be cre-

ated based on the most advantageous use of all known data. The best future vision would then be actively pursued, driven by the leader's inner emotional resources. The author emphasized that educators have a serious obligation to select wisely from the possible vision alternatives (p. 157-159).

'Personal vision' was defined as an introspective study that encouraged the assessment of personal strengths and weaknesses. The principal would build upon personal strengths and would compensate for weaknesses by selecting, hiring, and delegating to those with counter balanced strengths and weaknesses. The exercise of personal vision would encourage one to explore multiple future scenarios (pp. 159-161).

The final vision component, 'strategic vision', was defined as the way that the leader set organizational priorities and orchestrated the three components just cited (pp. 162-63).

Manasse summarized that vision was more than the sum of the four components. It was a combination of these plus a conceptual knowledge and skills base enhanced by creative thinking skills, articulated by a mature leader with a sense of humor.

Colton (1985), defined vision as that:

...which involved creative aspirations, which establishes goals or objectives for individual and group action, which defines not what we are but rather what we seek to be or do. (p. 33)

Blumberg and Greenfield (1986) compared the concept of vision to a "moral imagination". These authors saw vision as an imperative for today's school leader. They stated "...to lead a school well, one must have a vision of what is desirable and possible in that school's context" (p. 226). This vision

"...gives that individual the ability to see that the world need not remain as it is—that it is possible for it to be otherwise—and to be better" (p. 228).

Peterson (1986) believed that two of the major factors in vision development and implementation were found in the ability to identify specific, critical problems (problem finding) and then to develop a plan that solved the identified problem (problem solving). Peterson differentiated proactive from reactive problem finding. Proactive problem finding involved selecting specific problems from the environment based upon importance to philosophy, as opposed to reactive problem finding, which tries to solve problems as they are presented within the context of the school environment.

Corcoran and Wilson (1986) stated that they believe:

It is the clarity and power of the vision that establishes a unique identity for the school and strengthens the bonds of loyalty among members of the school community. (p. 37).

The authors did not hesitate to warn that vision was not enough, "Vision must be accompanied by action" (p. 37). While the principals studied by Corcoran and Wilson did not always use the term "vision" they did repeatedly refer to the importance of a shared philosophy, mission, and taking "decisive action...[in order to create] a shared moral order" (p. 38).

Sheive and Schoenheit (1987) established the need for vision, but like Corcoran and Wilson went an important step further. They stated that "...effective principals can describe their visions" (p. 96). These authors described two categories of vision found among leaders of successful schools. The first type was related to organizational excellence; and second was related to universal equality. Sheive and Schoenheit described leaders with organizational vision as

being leaders who were "...driving or pushing their organizations toward the preferred future they have in mind" (p. 97). These authors saw leaders that possessed universal vision as having quite diverse roles, though those roles commonly focused upon issues of far-reaching equity. These were the leaders who did "...not follow a pattern—they were making one" (p. 98). These authors pointed out that "...these leaders are pulling all of us toward a future that we would all prefer" (p. 98).

Blumberg (1989) likened leading a school to crafting a work of art. He continually stressed the necessity of having an image of the desired end result. He made the straight-forward statement that "If you don't know what you want to make, you can't start making it" (p. 71). Because of the large number of problematic situations facing any principal daily, Blumberg felt it was imperative that there was "...an overriding image that sets boundaries around what one might expect or hope for as a result of one's work" (p. 72). From his work with principals, Blumberg concluded that the level of "livability" [climate] in a school is an important factor that cannot be over-looked. He believed that the true artistic craftsman of the principal's office must believe that:

...for every school building, there's a beautiful school in there somewhere and, if you keep on chipping away, you'll find it. But you have to know what you're looking for. (p. 229)

After surveying the intermingled effective schools and effective principal literature of the past few years, it became clear that the concept of vision permeated the thinking of the more recent effective school movement. But vision was not enough. Articulation and action must follow.

Implementation of this vision necessitates change. The successful implementation of the principal's vision then, will hinge on her abilities to effect posi-

tive change. Coupled with this requirement for success will be the ability to develop a climate conducive to such change. This ability to effect positive change becomes one of the critical roles of the principal in school improvement.

Climate

The NASSP May, 1989 newsletter, *The Practitioner* defined two confusing terms: culture and school climate. This source used the term, "culture", to refer to the:

...characteristics and traditions of a school and the citizens in its attendance area, including the history of the school; the formal and informal curriculum... aspirations of teachers and students and community members...demographic characteristics of teachers, students, and community members. (p. 1)

The term "climate", was defined by NASSP (1989) as the "...relatively permanent and enduring pattern of shared perceptions of the characteristics of a school and of its members" (p. 1).

After a survey of more than 200 references on the topic of school climate, Anderson (1985) concluded that "Climate is a word that seems so intuitively understandable that at first glance it might appear to need no definition" (p. 97). She stated that defining climate was, in fact, relative to the specific interpretations of individual researchers. She noted that some researchers referred to climate without using that specific terminology with synonyms such as "feeling" and "ethos", while others discussed it directly, without definition, yet still other researchers used analogous terms to express this illusive concept. Anderson pointed out that the confusion was heightened by researchers who used the terms climate and culture interchangeably. For example, Deal and Kennedy (1983) defined the elements of culture as "...shared values and beliefs..." (p. 14)

while Roueche and Baker (1986) define climate as "...The overall environment, values, shared beliefs, and personality..." (p. 24). Anderson concluded that it may be necessary to "combine apples and oranges in attempting to identify common findings" (p. 104).

Patterson, Purkey, and Parker (1986) also expressed concern that terms were confusing due to overlapping of meaning.

Some researchers favor ethos (e.g., Rutter et al. 1979) or climate (e.g., Goodlad 1984), while others substitute moral order (Cohen 1983) or learning environment (Hawley et al. 1984). (p. 96)

The use of consistent definitions for these two terms defied agreement. As Norton, (1984) concluded after researching school climate, the organizational climate of the school represented "...the atmosphere as characterized by the social and professional interactions of the individuals in the school" (p. 43). Norton stated that the climate of the school was all important since it "set the tone" for addressing problems, allowed open, honest communication and professional respect. Climate positively affected motivation toward personal and professional growth of the members of the organization. He proposed that the "...human factors indeed are more influential than material ones in affecting change and creativity in educational practices..." (p. 44).

Levine (1988) used the term "atmosphere" as being synonymous with climate (p. 23).

Sweeney (1988) defined climate as:

...how people feel about their school. It is a combination of beliefs, values, and attitudes shared by students, teachers, administrators, parents, ...and others who play an important role in the life of the school. (p. 1)

According to Kelley (1981) climate was an important, yet subtle element

to be considered when evaluating any educational environment. While admitted that various authors did not agree as to the definition of climate he defined it as "...more than staff morale. It's the interaction between satisfaction and productivity for everyone in the school" (p. 180). The author discussed climate using the two dimensions of satisfaction (morale), and productivity (student achievement).

Roueche and Baker (1986) defined climate as "...The overall environment, values, shared beliefs, and personality...a result of daily decisions made by those in charge of the learning environment" (p. 24).

Anderson (1985) supported the belief that there was a direct link between the climate of the school and student achievement within that school. She concluded that "teacher commitment" in improving academic achievement was heightened by a positive school climate.

Gottfredson and Hollifield (1988) warned that an assessment of school climate should not be done unless the principal made a commitment to act upon the results (p. 67). Once efforts for improvement have been undertaken, assessment of results must follow (p. 69).

Roueche and Baker (1986) admitted there was no single factor that yields a "good climate" for educational success, yet they consistently pointed out that good school climate was synonymous with good discipline. This same reference to the linkage between climate and good discipline was repeated throughout the research (McCoy & Allred, 1985; Roueche & Baker, 1986; Wayson, 1981) Apparently, effective discipline allowed more positive interactions, openness, and productivity.

The clusters of characteristics Roueche and Baker (1986) identified as

reflecting a positive school climate and being common to most effective schools submitting nomination forms to the 1982-1983 Secondary School Recognition Program sounded, not surprisingly, familiar. "Order and purpose are obviously highly valued" (p. 25). These schools all had a vision and an action plan for achieving that vision, that was held in common by the parents, teachers, students, and administrators. The vision and the coherent master plan for actualizing that vision was used to focus on achieving academic goals, which in turn resulted in evaluation and revision of established curricula. A reward and recognition system was in place to encourage achievement and emphasize time on task (p. 27).

The second cluster of characteristics found in schools with a positive climate included classroom organization that fostered efficiency and "systematic, objective assessments" (p. 27). This monitoring was used to help make curriculum decisions on a day to day, as well as long term, basis.

Next, these effective schools with a positive climate had student-centered environments. Teachers studied the special characteristics of students; they used a wide variety of teaching strategies and materials. "...a high level of interaction between students and teachers..." was common (p. 28).

The fourth cluster of characteristics associated with the positive climate of effective schools is a feeling of "optimism and high expectations" that is "felt" throughout the school (p. 29). One facet of this cluster was the belief that students could improve, and further that the school experience should influence this positive growth by students (p. 30). In this positive environment students gained a feeling of "...positive attitude, a low sense of futility, and a sense of control..." (p. 30). This optimism naturally led to higher expectations of student achieve-

ment and success.

The final cluster of characteristics centered on the health of the organization itself. Effective schools had "...strong leadership, accountability, clear commitment to instructional excellence through inservice education and evaluation and community involvement" (p. 31).

Wayson et al. (1988) reported on a study of 250 schools in 50 districts throughout the United States. While Wayson et al. were critical of the oversimplification of effective school characteristics, they did give strong emphasis to the factors affecting school climate. The factors they advocated for a positive climate were familiar refrains: high standards, safe and orderly environment, ample awards and recognition, positive emphasis on student rights and responsibilities, open home-school communication, collaborative organizational structure, and positive student-teacher relations (pp. 173-174). Wayson found that good schools "...reflected a broader mission,... and shared purpose...These schools are human, not mechanical, enterprises" (p. 175). They also warned that the human condition was not perfect. Schools did not have to be devoid of less than perfect practices. "No formula exists to guarantee excellence; it is born of a persisting commitment to do well and to do well by others..." (p. 202). The importance of a "can do" climate being established one school at a time permeates the Wayson et al. (1988) writings.

Sweeney (1989) discussed ten common factors shared by schools with "good" climates. These included: a supportive, stimulating environment; student-centeredness; positive expectations; feedback; rewards; a sense of family; closeness to parents and community; communication; achievement; and trust.

Improving School Climate

After a review of the climate research, Kelley (1981) synthesized four major imperatives for those seeking to improve school climate. Consideration must be given to the expectations the home projected concerning the students' achievement. Rather than blaming outside influences for the poor productivity of students, school personnel would look within the school environment and would make efforts to improve that environment. Care was taken so that the importance of setting expectations and monitoring student achievement were not overlooked by teachers or the principal. In the classroom the teacher set these expectations for students, while the principal established and monitored appropriately high expectations for the faculty (p. 183).

Miller (1981) concluded that administrators could be a positive factor in improving staff morale, and school climate. Modeling desired behaviors, taking an active role in instructional leadership, and maintaining realistic priorities that place student and teacher needs above paperwork were a few strategies suggested for the principal interested in improving the climate of his/her school.

According to the May, 1989 NASSP's newsletter concerning the improvement of school climate:

To improve the climate of a school, changes must be made in the culture of a school or employees and clients need to change their perceptions about the culture of the school...(p. 1)

Pellicer et al. (1990) reported that "climate reflects school culture" (p. 43) and was a "good general predictor of school success" (p. 43). These authors found that monitoring school climate was not a common practice. They concluded that the perceptions of one group did not necessarily predict the percep-

tions of another. The perceptions of climate were found to be influenced by internal and external conditions. A positive school climate was consistently associated with an effective principal and an effective leadership team (p. 59).

Climate in the High School

Farrar, Neufeld, and Wiles (1984) explored the factors that effected the attainment of a positive climate in high schools, and how they differed from the elementary setting. They found that it was more difficult to effect change within the organizational structure of the departmental high school. Because of the specialization of the high school, implementation of the effective school correlates was claimed to progress more slowly and with greater difficulty.

Kottkamp, Mulhern, and Hoy (1987) in a study of 78 high schools, found that climate was closely correlated with the amount of positive, supportive behavior demonstrated by the principal, and the amount of engaged, frustrated, and intimate behavior exhibited by the teacher (p. 45). The authors defined two dimensions of a positive climate. One dimension of a positive school climate was openness. This climate was one in which:

...both the teachers' and principal's behaviors are authentic, energetic, goal-directed, and supportive, and in which satisfaction is derived from both task-accomplishment and social-need gratification. (p. 46)

According to Kottkamp et al. (1987), the second dimension of a positive school climate was intimacy. This dimension is reflected in:

...a strong and cohesive network of social relationships among the faculty. Teachers know each other well, have close personal friends among the faculty, and regularly socialize together. (p. 46)

These authors concluded that if excellence was to flower in America's high schools, efforts for improvement must fall upon the fertile ground of a

positive school climate in which all work toward common goals in an environment of respect.

The Process of Change

The very nature of establishing a clear and focused vision of the excellent high school implies a need to initiate change toward attaining that goal. Change is the only vehicle capable of moving from the current state of affairs to the perceived best possible future state. Once the vision has been clearly articulated, the vision must be translated into reality through carefully planned actions. Researchers of change have been quick to point out that change is a process and not an event (Clark et al., 1982; Fullan, 1982; Purkey & Smith, 1982). Fullan (1982) cautioned that "It is possible to be crystal clear about what one wants and be totally inept at achieving it" (p. 4). It was, therefore, imperative that the principal have a clear understanding of the change process and how to use it successfully for the improvement of the school.

Sarason (1972) warned of the difficulty of changing a setting.

...Any proposed new setting confronts a preexisting complicated structure of relationships, parts of which work against and parts work for the creation of the new setting. (p. 42)

Fullan (1982) discussed educational change as occurring in three steps: adoption, implementation and continuation. He listed ten reasons a specific change might be adopted. These run the gamut from quality of the innovation to community pressure to bureaucratic incentives (p. 42). Implementation of educational change was found to be affected by the nature of the change and the characteristics of the school district, the local school and its community (p. 56). Continuation of the specific change beyond the implementation period was credited

to the positive interest and support shown by the site principal and district officials. This positive support was shown through curriculum development and validation reflected in budgeting practices and personnel assignments (pp. 76-77). Fullan warned the leader not to assume that the perceived needed change was the one that will or could be implemented. Individuals would have to give personal meaning to the innovation if they were expected to invest time and energy in the innovation. Conflict would be viewed as a fundamental, natural out-growth of change. Resocialization of those involved in the innovation were "...at the heart of the change" (p. 91). Fullan warned that true innovations must be given time to grow and be accepted. He suggested a minimum of two to three years (p. 91). He pointed out that incremental growth was important and should be viewed positively even if the ultimate change had not been achieved. He also assured the reader that it cannot be expected that "...all or even most people or groups..." will change. Progress must be measured by the increase in number of active, committed supporters. "Our reach should exceed our grasp, but not by such a margin that we fall flat on our face" (p. 92). The author stated that the change process could be effective if knowledge was shared with all members of the group. Yet, in spite of shared knowledge, the action to be taken will never be totally obvious to all within the group. "Action decisions are a combination of valid knowledge, political considerations, on-the-spot decisions, and intuition" (p. 92).

The Principal's Role as a Change Agent

Sheive and Schoenheit (1987) observed leaders identified as having organizational vision, whom they considered strong forces for positive change.

These leaders took:

...unpopular, even courageous, stand in their organizations. They confronted the faculty, the parents, the superintendent, the Board of Education, and the community. (p. 103)

In their study, one of the most common statements by the leader with a universal vision was "...I really want to make a difference" (p. 103). They found that leaders commonly took five steps to initiate change and actualize their visions. They synthesized a vision of the best possible future through reflection upon their value structure and information available. They made a personal commitment to their vision. They openly and enthusiastically shared their vision through articulation. They developed strategies for implementation and they took action to assure actualization (p. 99).

Clark, Lotto, and Astuto (1982) contend "The commitment of teachers is not a prerequisite to implementation..." (p. 52). This finding suggested that the principal was the chief decision maker regarding early commitment to initiate change. The principal influenced change through communication of high expectations concerning successful implementation. Principals successful in implementing change followed a consistent course of action. They communicated the importance and the probability of success, provided or arranged inservice and needed materials, and assured time for teachers to become comfortable with the new program or process (p. 54). These researchers characterized the most successful changes as those with the most likelihood for greatest advantage to the community. The more complex the innovation, the more advantage it would have to be in order to be successfully implemented. Funding was required to support specific, on-going training. On-going inservice offered the added opportunity of interaction among members of the implementation team.

Conner and Patterson (1983) addressed the change process and the realistic problem of developing the commitment needed to implement the needed changes. They pointed out that one of the key questions initially asked must be, "Is there enough commitment to implement the changes...and to assure successful achievement of the intended goals" (p. 166)? To effect change the leader must pay the price through allocation of resources to the goal. The resources might be in the form of "... time, money, endurance, self-control, and integrity" (p. 166).

Achilles and Keedy (1983/1984) emphasized the importance of the principal's effective use of "norm setting behaviors". These behaviors were used to implement the principal's vision of the school by translating expectations into actions within the school through change. These norm-setting behaviors included providing resources of time, materials, money; emphasizing the importance of human relations, modeling expected behavior and exerting the power of the position as needed to bring the needed changes within the school (p. 61).

Change must be effected unless the principal can exert enough power to move the organization forward. Bennis and Nanus (1985) identified power as "...the most necessary and most distrusted element exigent to human progress" (p. 16). The authors defined power as "...the capacity to translate intention into reality and sustain it" (p. 17). They declared leadership to be "...the wise use of this power..." (p. 17). They suggested that "Vision is the commodity of leaders, and power is their currency" (p. 18).

Barth (1988) described his vision of the effective high school as being "...the school in which I would like to be principal or teacher" (p. 639). In order to accomplish his vision Barth suggested a series of steps would lead to attain-

ment of his vision of shared leadership through effective change. First, the vision had to be articulated at every opportunity. The principal must be willing to relinquish power and entrust that power to teachers within the organization. This open display of confidence allowed those within the organization to use their "latent, creative powers" in the decision making process that was the very heart of the organization (p. 640). The author pointed out that the "Good principals are more often hero-makers than heroes" (p. 641). These expressed high expectations reflected confidence in teachers that was required for risk-taking decision making.

Murphy (1988) saw the process of change coming through the leadership of the principal, not as the strong, unwaivering leader, but as the one who "...points out a general direction... providing a scaffolding for collaboration..." (p. 656). This leader brings positive change through what he phrases "the unheroic" side of leadership.

...developing a shared vision (as well as defining a personal vision), asking questions (as well as having answers), coping with weakness (as well as displaying strength), listening and acknowledging (as well as talking and persuading), depending on others (as well as exercising power), and letting go (as well as taking charge). (p. 655)

Change Models

Conner and Patterson (1983) presented a model of change reflecting eight stages (p. 1). During Stage I there was an early encounter with the possibility that some change might take place. This contact was markedly different from Stage II awareness of the possibility of change. Here again, this awareness did not automatically generate understanding of the needed change, which surfaced in Stage III. During Stage III either a positive or negative image of the change

developed. This led to resistance or support crucial to the failure or success of the change. During Stage IV the decision was made as to whether support of the change was or was not appropriate (p. 3). Stage V brought implementation of the change through action. This commitment to action also required commitment of resources which must be carefully weighed prior to the commitment to implementation. Conner and Paterson likened making the decision to initiate a change to crossing a threshold. Stage VI presented the important decision to nullify the change implementation or validate the change which was helpful and needed. If this level of commitment could be maintained the change would become institutionalized. This was Stage VII (p. 4). During this stage the change had succeeded in becoming the norm. At this point it was difficult to do away with the change. The final stage, Stage VIII was internalization. During this stage the change actually reflects the values and personal beliefs of the members of the organization. High energy commitment and enthusiastic support were observed by a large majority. The authors warned that change using this model was not practical unless the leader was willing to provide information as needed by the members of the organization, and be willing to pay the monetary cost of change (p. 5). These authors also cautioned that there was a difference between intellectual commitment to change and emotional commitment to change. The lag in emotional response caused conflicts and resistance to internalization (p. 7).

The NWREL (1983) presented a plan for change based upon extensive effective schools research. This process involved training related to the effective schools research, followed by planning and implementation for long-range change sensitive to the needs of each unique school setting. The NWREL emphasized that the cookbook method of reforms using checklists will not be effective

for the implementation of the needed long-term changes. They proposed an eight-step plan of action. The leadership team was selected and proceeded to assess the status of the school. Assessments were made in areas related to student achievement, school climate and student behavior. Strengths and weaknesses were determined based upon collected data. The leadership team identified areas for improvement. Research was the basis for designing a plan of action for improvement. Careful planning for implementation preceded any attempt to implement the plan of action. Once implementation was in progress, consistent monitoring took place to assure positive changes were actually taking place. Realignment was sometimes necessary during this monitoring phase (p. 136-138).

Clark, Lotto, and Astuto (1984) supported the framework of change grounded in the effective schools research. They agreed with Purkey and Smith (1982) that the process of change toward effectiveness gives value to the listing of characteristics of effective schools or successful leaders. Rather than continue with the listing of findings expected in the presentation of literature reviews, these authors preferred to state four propositions of a broader nature. The first proposition said that schools were different, that this difference is important to the learning of children and that these differences are most important in the lives of those children with little stimulation outside the school environment.

The second proposition stated that people (students, parents, teachers, and administrators) were the most important factors in school. The third proposition, which closely reflected the typical effective schools research listing, presented the six characteristics "that matter":

1. focusing on academic achievement of students;

2. maintaining high expectations for student achievement;
 3. allocating and utilizing academic learning time efficiently and effectively;
 4. maintaining an orderly and supportive school climate;
 5. providing learning opportunities for teachers as well as students; and
 6. using regular programs of evaluation and feedback to students.
- (Clark, Lotto & Astuto, 1984, p. 47)

The fourth proposition emphasized that people were the reason effective schools evolved, declined, or reemerged over time. They concluded that "The search for excellence in schools is the search for excellence in people" (1984, p. 50). This search must involve change.

McCoy and Allred (1985) presented a model of effective change which utilized the balance of purpose and process. They saw purpose as a realistic and achievable mission and goals. By process they meant the "...methods, techniques and behaviors utilized by an institution in an effort to reach established goals" (p. 2). Though strategies worked at the initial site, they often failed miserably when disseminated (p. 1). These authors suggested that this unfortunate, yet common, outcome resulted from the fact that those at the new site were more excited about the results than the process used to reach them. These authors clearly stated the need for a clear vision of the desired change, a rationale for the change and an accurate assessment of the extent of the support base for the change. The clear statement of purpose dictated the nature of the process to be used (p. 2). Success was a delicate balance between the clearly articulated purpose and carefully selected process. When those undertaking change with a purpose were involved in selecting the process to be used, "ownership" developed. This in turn developed "...a climate in which people go well beyond their usual commitment and seem to sense a personal need to ensure the project achieves its goal" (p. 3).

Foster (1986) rejected the use of a specific model for change; instead, he used the analogy of a cake to suggest various models actually blend together to complement the desired whole (p. 162). The most stable ground for change is declared to be "praxis", or "...practical action, informed by theory, that attempts to change various conditions" (p. 167).

Jenne (1986) proposed the use of a strategic planning model to achieve the most desired future possible (p. 36). He outlined seven components of strategic planning. Initially an environmental scan was necessary to not only "see" the problems, but to look outside the system. This was necessary to determine those factors effecting the problem over which little control could be exerted. After the scan, a mission statement was constructed to focus attention and energy on a limited number of key issues through a limited number of goals. Next, strengths and weaknesses were realistically assessed. The strategy for improvement was developed contingent upon the strengths and weaknesses defined previously. Beyond the strategy development came a carefully formulated action plan which specifically determined who would perform which tasks, a time line for completion and what resources would be required if the plan was to be successful. After this careful planning and implementation began. Built into the action plan was an evaluation system. This provided all members of the organization with an implementation update as to the progress being made. This assessment was the basis for changes in the plan to assure constant refocusing based upon environmental changes both within and outside the organization. According to Jenne, a strong leader was essential if the strategic planning model was to be successfully used.

Gottfredson and Hollifield (1988) proposed six steps to planning for

successful school improvement through organized change. The first, most important, step was to assess the school's climate to determine existing problems. Once problems were identified, the next step required prioritizing needs in order to formulate goals and objectives. Once this was done, the next step was to address the target goals and objectives by selecting a program that has been evaluated and confirmed by research as effective. It was important to be realistic and address obstacles and resources, or the lack thereof. Next a specific plan was developed with a clear commitment to quality control standards to facilitate change actually taking place (p. 68-69).

Patterson, Purkey, and Parker (1988) suggested a model of change which incorporated strategic planning. This model emphasized the importance of "...understanding and assessing the world within and beyond the organization" (p. 87). This assessment was the information base used to draw conclusions regarding the vision of the best future state of the organization. Strategies were then selected to bring the vision to reality.

Hopkins (1990) believed that the requirements for positive change in education today, "...are related to the school's social system and are not dependent on external factors..." (p. 45). This author stated that the school climate and the nature of the teaching staff were key factors for successful school improvement and change. Hopkins urged us to move forward in our research from detailed studies of isolated issues to the synthesis of these studies for action.

Changing the High School Setting

Heriott and Firestone (1984) suggested that the reformation of high schools may be much more difficult than reforming elementary schools. They found elementary schools fit into a rational bureaucratic framework, while high

schools "...were more like loosely coupled systems" (p. 41). They concluded that change was more difficult to bring about in a high school because of several variables. Among those were: school level, that was the age of the students; departmentalization, or specialization of the adults within the organization; size of the organization resulting from specialization; and the sex composition of the faculty. (p. 53) These loosely coupled systems within the high school made top-down change impossible. These authors saw change actually taking place only if it was supported by the two decision units closest to the students: the building level and the classroom level. In addition, Heriott and Firestone stated their belief that "...current arrangements in high schools are the result of historical, cultural, and political forces that are not easily redirected" (p. 54). Heroitt and Firestone predicted that unless successful restructuring of the high school takes place, major, long-lasting reforms will not be accomplished.

It was interesting to note that since "...at the secondary level, different groups of students (subpopulations) experience the school's culture differently" (Patterson et al., 1986, p. 98), change meant different things to different groups within the high school. This made accurate assessment of any culture or evaluation of any change at the high school level more difficult to interpret.

Several researchers' perspectives on change for school improvement were found to be complimentary (Fullan, 1990; Heifetz & Sinder, 1987; Hopkins, 1990). They agreed that the leadership of the principal was necessary for the mobilization of teachers, which in turn brought about school improvement through improvement of the climate and instructional activity in the classroom. The principal was, as Heifetz and Sinder (1987) stated, "...the grain of sand in the oyster, not the pearl" (p. 194). Climate was an inescapable link among continu-

ous improvement through change, shared purpose, the organizational structure, and collegiality. Fullan (1990) defined shared purpose as being "...vision, mission, goals, objectives, and unity of purpose" (p. 17). He defined collegiality as "...the extent to which mutual sharing, assistance, and joint work among teachers is valued and honored in the school" (p. 17). The climate of the school thus became a key factor in school improvement through positive change.

Goodlad (1984) reminded us that:

The only hope for meeting the demands of the future is the development of people who are capable of assuming responsibility for their own needs. Schools should help every child to prepare for a world of rapid changes and unforeseeable demands in which continuing education throughout adult life should be a normal expectation. (p. 56)

If this was true, it followed that the schools must, through their example help students learn to effectively deal with change. This ability to cope with change must be part of the principal's vision of the excellent high school.

Excellent High Schools

In reviewing the literature related to effective schools, leadership, vision, change theories, and the importance of climate, it became apparent that Austin and Holowenzak (1985) were correct in their prediction that "We are entering a period of greater self-reliance upon individuals and less reliance upon centralized institutions." for the attainment of "...high levels of achievement and positive social behavior..." (p. 80). Wayson (1988) was obviously accurate when he reminded us that excellence was achieved one school at a time and that "...achieving excellence ultimately depends on an individual's willingness to take action" (p. 214).

In lieu of neat lists of "do this, but avoid that" it becomes necessary to

look at those schools that have achieved excellence, one at a time. TheodoreSizer cautioned us that "...even among good schools, no two are ever quite alike" (p. 1). In spite of this fact researchers like Clark, Lotto and Astuto (1984) concluded that the "Best-run Schools" have common characteristics of excellence. These authors delineated these characteristics of excellence in American public high schools. There was a strong commitment by all to the mission of the school. High expectations are set and maintained for students, teachers and administrators. Planning, experimentation, and positive action for the improvement of the school community was expected. Consistent, competent leadership was a necessity for improvement, as well as for maintaining excellence. The focus of the school was upon academic learning time and on-task behavior. The climate of these excellent schools reflect order, safety, and a feeling of support that made them "...good places to live and work for everybody" (p. 65). Lastly, these excellent schools allow time for growth, as well as time for experimentation.

The 1984 Ford Foundation study of high schools found that those schools with the best records of overcoming problems through cooperative improvement and those which demonstrated improvement in student learning had consistent similarities. In these schools:

...faculty and other staff cooperated... principals had ongoing training and development in instructional leadership...there were opportunities through sustained systematic and ongoing inservice or staff development..." (p. 67)

Colemen, Hoffer, and Kilgore (1982) conducted a comparative study of public and private schools. They concluded that private schools were more effective in demonstrating academic achievement. They proposed that the reason was reflected in the characteristics of private schools. The characteristics that

they contended promoted the positive difference were: order and discipline; consistent, appropriate homework; and high expectations for students and faculty. In Austin and Holowenzak's 1985 review of the above study they concluded that:

This information suggests that leadership on the part of the principal ...in secondary schools is as important as it has proven to be in the elementary school. High levels of expectations, positive interpretation of those expectations, and active involvement in the instructional process seem at all levels of schooling to lead to the same result: higher levels of achievement and attainment of positive social behavior on the part of the students. (p. 76)

In this section, studies of excellent American high schools will be briefly reviewed. The emphasis of each review focused upon the leadership of the principal in actualizing his vision of the effective high school.

In 1987, former Secretary of Education, William Bennett, set forth a theoretical "good" high school. He called this school James Madison High School. While the emphasis of this proposal centered upon strengthening the curriculum, the key vision themes were high expectations and personal commitment.

It must be a coherence of mind, an intellectual and moral vision that comes to life in the quality and dedication of people who teach, direct, and administer. (p. 49)

Bennett (1987) cited several examples of excellent high schools. These model high schools are discussed below.

At first glance A. Philip Randolph Campus High School appeared to be a prestigious private prep school, with ninety-three percent of the students attending summer school, and statistically all going on to some form of post-secondary education. Not true! In reality the population of the school was composed of

approximately "1500 black and Hispanic student, half of them disadvantaged..." (p. 16). The majority of the students were randomly selected by computer from the pool of applicants. Once accepted, students attended eight academic classes daily, five days per week. Community service and three years of a foreign language were requirements for graduation. The principal held high expectations of student success and warned, "Don't say it can't be done; we have done it, and we will continue to do it" (p. 17).

CAL High School, served the towns of Coulter, Alexander, and Latimer, Iowa. It had a student population of less than 100 students, twenty-five percent of whom were disadvantaged. This school required a minimum of 27 units for graduation, had almost full participation in the foreign language program, near perfect attendance and had suffered one drop out in the past seven years (p. 22). One of the teachers interviewed summed up the climate of the school, "We set our goals, meet our goals, and then do all in our power to surpass them" (p. 22).

James A. Garfield High School gained national prominence by serving as the backdrop for the movie "Stand and Deliver". Garfield served approximately 3,500 Hispanic students, 90 percent of which were disadvantaged. Because the school was in danger of losing its accreditation, the complete administrative staff was replaced. The:

...new team...expelled the gangs, cleaned the building and established order...The new principal pushed a beefed-up, traditional core curriculum and de-emphasized peripheral and insubstantial electives. (p. 28)

One year later the first AP Calculus class at Garfield had such success that the Educational Testing Service (ETS) threatened to invalidate the scores unless the students retook the test under ETS supervision. Twelve students did so and all twelve passed. Five years later 85 Garfield students passed the AP

Calculus Exam (p. 28). The principal gave the following explanation, "You really have to expect these kids to act the way you want them to act, and—boom—they will respond" (p. 29).

Gilchrist (1989) studied three schools recognized by the National Secondary Schools Recognition Program representing excellence at the elementary, middle and secondary levels. McCluer North High School in Florissant, Missouri was the chosen high school. Each of the programs or characteristics discussed was, of its own merit, not strong enough to cause this school to receive such recognition. It was the composite of these factors that seemed to produce excellence. Individualized instructional programs are cooperatively designed for each student by the advisor, student, and parent. Students credited the creative faculty, community pride in the school, close parent-teacher involvement, and school leadership with making the school worthy of recognition (p. 89). Department Heads were leaders in curriculum development, and performance evaluation (p. 91). In-service opportunities were developed for the specific needs of the teachers (p. 92). Parents were supportive of the schools policies related to academic rigor, attendance, and consistent discipline (P. 94). Members of the community served as volunteer resources; students served the community and interacted with the business community through organized school programs (p. 96). A wide variety of extra-curricular activities provided opportunities for participation by 80% of the student body (p. 99). The Student Council and Student Relations Committee were active in obtaining and presenting student opinion and concerns (p. 104). Classes were conducted in a relaxed, yet on-task manner reflecting the expectations of student success (P. 111).

In an analysis of Gilchrist's finding in the above three school study,

Deede Sharpe (1989) synthesized principles that she believed universally applied to effective schools (p. 135). Every effective school:

...has a positive climate in which people want to care...has a clear organizational personality, characterized by stated missions, goals, values and standards of performance...which were the products of everyone's thinking...People are involved...[and] informed...The school is a contributory partner to the community it serves...Those in charge model behaviors that they say are important...Assessment of students, staff and curriculum makes teachers feel involved. (pp. 136-141)

Lightfoot (1983) bluntly reminded us that there were no perfect schools, just as there were no perfect mothers. (p. 311) She proposed the use the term "good enough" school, patterned after the British psychoanalyst, D. W. Winnicott's concept of "good enough mothers" (p. 311). Her definition of a "good enough school" was one that was "...whole, changing, and imperfect" (p. 311). The good school was realistic in its look inward to assess its strengths and weaknesses and, in turn, worked to improve. Of the six schools included in the Lightfoot study, four were public schools, two urban, and two suburban. Three of the four public high schools will be discussed below. Highland Park High School served such an affluent suburban community that it more closely reflected the culture of a private school than a public school. For that reason, it was not included in this review.

George Washington Carver High School was located in one of the poorer sections of Atlanta. While it was a long way from achieving optimum performance levels from its students, great strides have been made. Most of those assessing the improvement of Carver saw the principal as the "...catalyst of change" "The tone and culture of schools is...defined by the vision and purposeful action of the principal" (p. 323). His success was partly the result of consis-

tent support from the superintendent (p. 33). The principal brought discipline, decorum, and a new image to Carver. "Sometimes one gets a feeling that more efforts are going toward redefining the image than facing the reality" (p. 40). This vision of what Carver could become drove the principal, a nucleus of the faculty, and an influential community banker that supported the principal in his quest to improve Carver.

John F. Kennedy High School in New York was a large urban high school. The principal was characterized as "...dynamic, charismatic, charming..." and had "...forcefulness and power" (p. 63).

He was known as a motivator who encouraged broad based participation and collaboration. The principal listed six ingredients of leadership: dedication; humanistic; knowledgeable, especially having a personal vision; a strong physical presence; and flexibility (p. 71). He moved this Title I school of 5,300 students forward with his "...belief in the unbiased, color-blind stance of a good leader combined with his pride in the rich mixture of students at Kennedy High" (p. 72).

His vision was one in which all students achieve in "...a calm, productive environment... reflecting safety and discipline..." (p. 74). He sought to:

...undo the social pyramid while still recognizing differences in ability and achievement among students...We say that the pyramid's okay, but we base it on ability and disregard social class...I think that is both educationally sound and ethical! (p. 84)

Success at Kennedy High School was articulated as becoming more human, caring about others, and reaching for personally set and monitored goals.

Brookline High School in Boston represented a diverse student body, so

diverse, in fact, it was referred to as "...a little United Nations" (p. 159). The diversity was compounded by the fact that the school draws students from all over the city through a "magnet" program. This diversity had caused some parents to place their children in private schools. The principal came to the school because of the challenging crises brought by student diversity coupled with the community's commitment to maintain the "goodness" of its school. The faculty had some difficulty adjusting from the previous authoritative style to one of collegiality, and shared decision making. The principal summed his beliefs with the statement, "...that the more power you give people, the more responsibility they take" (p. 173). He brought improvement to the school by confronting violence, insuring safety for all students, establishing higher expectations for students and staff, and through establishing what he called "a just community" through the "Town Meeting" concept (p. 175). All segments of the school community agreed that the new leadership had brought a "...shift of emphasis from individual to community, from competition to caring, from sameness to diversity..." (p. 200). A new pride and responsibility was evident from the behavior of students. A consistent, serious effort on the part of the faculty was reflected in an "...atmosphere that is serious, the rules clear, the caring certain, and the methods eclectic" (p. 201).

Clovis West High School in Fresno, California, was recognized by the Secondary School Recognition Program in 1989. According to data submitted throughout the National Secondary Schools Recognition Program's nomination form this school of approximately 2400 students boasted a one percent dropout rate (p. 25), SAT Verbal scores "...44 points above the national..." average and SAT Math scores "...68 points above the national..." average (p. 23). The princi-

pal has been there for the past three years and has been the catalyst for strides in all areas. His vision of the effective high school revolved around the "Sparthenian" concept of "...rigorous academic, co-curricular activities, and competitions maximizing his or her potential in body, mind, and spirit" (p. 6). His vision included the goal of 90% of the school's students being prepared for college entry; 78% continued their education beyond graduation during the 88-89 school year (p. 6). He consistently talked in terms of providing "...students with the skills necessary to live in an ever changing multicultural world" (p. 6). The faculty accepts the challenge of being accountable, effective in the implementation of change, and student centered.

Summary

While the debate still rages as to the characteristics of effective high schools and their leaders, the image is becoming clearer. The resulting picture is not one that can be easily reproduced like the lithograph, once etched in stone. The beauty, and accompanying difficulty, of the picture of an effective high school is that each has a relatively similar configuration, yet differing individual qualities. In the final analysis it appears to be these unique individual qualities that create the humanness so vital to an effective school.

CHAPTER 3

RESEARCH DESIGN

Introduction

According to Bennis (1985) the problem with leadership today is that we are educating highly skilled managers who are problem solvers and staff experts. Problem solving is required of the leader, but it "...is far removed from the creative and deeply human processes required of leadership" (pp. 219-20). He refers to leaders as:

...catalysts...capable of deploying their ideas and themselves into some consonance and thereby committing themselves to a greater risk—the exposure and intimacy that most of us emotionally yearn for, rhetorically defend, but in practice shun. (pp 216-217)

The leader Bennis described has a clearly focused vision of excellence and is able to "...translate that vision into a living reality" (p. 217). Bennis stated that the leader, as opposed to the good manager, demonstrated such characteristics as "...persistence...self-knowledge... willingness to take risks and accept losses... commitment, consistency, challenge" (pp 187-88). He identified learning as the essential "...fuel for the leader" (p. 188). Bennis challenged us to develop trust, which he saw "...as the lubrication that makes it possible for organizations to work" (p. 43). This trust also acts as an "...emotional glue that binds followers and leaders together" (p. 153).

Leadership is characterized by authentic power, coupled with "...power's reciprocal: empowerment...This reciprocity creates its own rhythm, its own vitality and momentum" (p. 80).

One must be around that which works, which sings, which has rhythm, which has passion, which has enthusiasm, before one can understand just how broad the gulf is between not the winners and the losers (that's defeatist talk) but things that are humming and things that aren't. (Peters & Austin, 1986, p. 486)

A well organized method of investigation was needed to examine the characteristics, behaviors, and strategies of principals who create educational settings that "hum", while others struggle and cannot.

Purpose of the Study

The purpose of this study was to answer the research questions related to how successful principals implement their visions of the effective high school. Specifically, this study sought to target those characteristics, behaviors, and strategies used by successful principals.

Taylor and Bogdan (1984) defined methodology as "...the way in which we approach problems and seek answers" (p. 1). The selection of a methodology that would allow identification of successful high school principals' strategies for implementing their visions of the effective high school was critical to the success of this project. This methodology required getting behind the scenes to discover the reality of leadership. Goffman (1959) reminded us that:

...executives often project an air of competency and general grasp of the situation, blinding themselves and others to the fact that they hold their jobs partly because they look like executives, not because they work like executives. (p. 47)

While Goffman acknowledged that impression management was an important asset of the leader, it is, in isolation, a shallow substitute for true depth of understanding and leadership.

This chapter describes the quantitative and qualitative research proce-

dures and the selection of an appropriate methodology and design for this project.

Background

The literature dichotomizes positivists, using quantitative methods, and phenomenologists, using qualitative practices and beliefs. According to Taylor and Bogdan (1984) the positivist is an investigator of facts and data. Quantitative research emphasizes reliability and replicability (p. 4). The positivist searches for causes through methods such as questionnaires, inventories, and demography that produce data amenable to statistical analysis. (p. 2)

According to Suransky (1980), the positivist view rigidly adheres to "...control and adaptation of the individual to a predefined set of norms." The positivist tradition seeks "...not essence but exterior, not meaning but measurement, not understanding but control, which comprises the behaviorist orientation" (p. 164).

Tuckman (1988) proposes five characteristics of the quantitative research process. In his view, quantitative research is:

- 1...systematic, thus procedural, rules are specified in order to identify and define variables...;
 - 2...logical, which allows the researcher to check internal validity of the conclusions reached...;
 - 3...empirical, or has a "reality-referent" which allows the findings to be generalizable in terms of external validity...;
 - 4...reductive, in that it allows the researcher to explain rather than merely describe events...; and
 - 5...replicable and transmittable, thus the processes and procedures can be transmitted, enabling replication and verification of validity.
- (pp 12-14)

According to Taylor and Bogdan the phenomenologist searches for

understanding of existing phenomena from the subject's point of view. The term qualitative methodology is used to identify that research which "...produces descriptive data: people's own written or spoken words and observable behavior" (p. 5). The phenomenologist employs qualitative methods "...such as participant observation and in-depth interviewing...that yield descriptive data" (p.

2). Suransky (1980) pointed out that:

Phenomenology's vision of the world is geared toward a collective interactionist model where a great emphasis is placed on the openness and unconcealedness of the inter-subjective encounter. (p. 165)

Suransky (1980) emphasized "...the importance of generating theory from data rather than attempting to verify facts" (p. 169). He advocated that we reject the use of scientific methodologies when dealing with the humanness of man's interactions within a social setting. "This involves negating operationalism, ...programmed instruction ,...[and] the reduction of the human being to an object..." (p. 178).

Bogdan and Biklen (1982) set forth a typical listing of characteristics of qualitative research. In their view qualitative research:

- 1...has the natural setting as the direct source of data and the researcher is the key instrument...;
- 2...is descriptive...;
- 3...is done by those who are concerned with process rather than simply with outcomes or products...;
- 4...requires the researcher to analyze their data inductively...; and
- 5...states that meaning is essential... (pp. 27-30)

The qualitative researcher uses a variety of methods. One of the most common is participant observation. This technique is composed of researcher and informant social interactions..." in the milieu of the informant, during which

data are systematically and unobtrusively collected" (Taylor & Brogdan, 1984, p.

15). The qualitative framework demands that the researcher:

...bracket out all preconceived assumptions, and 'grand theories', and attempt to question the fundamental assumptions about a particular phenomenon or process. (Suransky, 1980, p. 171)

Eisner (1981) offered an eclectic view of research. He believed that we could not study in a strictly scientific mode; that there could be no truly empirical research since researchers really seek to "...describe, interpret, predict or control qualities" (p. 6). He saw the differences as being between scientific and artistic studies. Eisner viewed scientific research:

...as inquiries that use formal instruments as the primary basis for data collection, that transform the data collected into numerical indices of one kind or another, and then attempt to generalize in a formal way to some universe beyond itself. (p. 7)

On the other hand, Eisner defined artistic studies as research that is:

...less concerned with the discovery of truth than with the creation of meaning. Truth implies a view that proposes ...singularity and monopoly...wedded to consistency and logic. While meaning reflects ...relativism and ...diverse interpretations and coherence. (p. 9)

Eisner proposed that the educational researcher should "...avoid methodological monism". Educational researchers should address educational issues "...in as many ways as will bear fruit..." This stance does not imply correctness of one method over another. Eisner reminds us that:

The issue is not qualitative as contrasted with nonqualitative or quantitative, but how one approaches the educational world. It is to the artistic to which we turn, not as a rejection of the scientific, but because with both we can achieve binocular vision. (p. 9)

Cook and Reichardt (1979) stated three reasons supporting the use of a dual approach to research: (1) comprehensive research should include both

process and outcome analysis; (2) use of both types allows each method to build upon the other; and (3) use of multiple techniques provides triangulation of "...the underlying 'truth' separating the wheat from the chaff..." (pp. 21-23).

This dual approach is not always practical since it may result in making the research prohibitively expensive, as well as require too long a time to complete. In addition, the researcher may have limited experience and expertise in one of the two areas (Cook & Reichardt, 1979, p. 25).

Freire (1970) advocated the adherence to the concept of praxis, which he defined as "critical reflection plus action" (p. 91). This praxis is the foundation of social change. Suransky (1980) agreed with Freire, demanding that we:

...acknowledge the force of phenomenology as a weapon of social change...to reshape the forces of technology, to modify its impact on our education and research practices, on the ideas, judgements and values of our objective milieu. (p. 178)

McCutcheon (1981) and Lather (1986) reiterated the concept of praxis. McCutcheon wrote that the result of the interpretations that grow out of our theories, our past experiences and our present observations should result in "...changes in practice or theory" (p. 5). Lather saw the task of:

...praxis-oriented researchers as being the confrontation of issues of empirical accountability—the need to offer grounds for accepting a researcher's description and analysis—and the search for workable ways of establishing the trustworthiness of data in new paradigm inquiry. (pp. 259-60)

Our technological allegiance has resulted in a reduction of the human spirit through a search for how to proceed most effectively and efficiently rather than to seek the "why" of human endeavor.

Methodology

This review of research methodological models crystallized the fact that neither quantitative nor qualitative research was better than the other. Rather, each has strengths and weaknesses relative to certain research situations. Quantitative research methods help the researcher analyze the presence or absence of management skills through testing, scales and inventories as a way to identify leadership style. These are not the data sought by this study. A clearer understanding of the essence of leadership was one goal of this study. Qualitative techniques allowed the researcher to search for the meaning of leadership in the real world of schools. The task became one of selecting the methodology which most clearly would probe how the principal of a high school, recognized as effective, brought about this effectiveness. A blending of the qualitative and quantitative positions was selected since:

...the more one has multiple impact measures qualitatively understood and linked to quantitative measures from the key publics to an evaluation study, the greater the probability of understanding... (Filstead, 1979, p. 44)

Design

This quasi-experimental study used a case study approach. Case study methods are described as "...naturalistic, qualitative, descriptive, responsive, interpretative..." (Stenhouse, 1988, p. 49). The study provided a descriptive account of three representative examples of principals functioning in high schools selected as effective. Gay (1981) noted:

The primary purpose of a case study is to determine the factors, and relationships among the factors, that have resulted in the current behavior or status of the subject of the study. In other words, the purpose of a case study is to determine why, not just what. (p. 170)

Stenhouse (1988) supported the use of an educational case study approach as a method to help "...understand educational action." He believed that "...multisite approaches will have an increasing part to play in educational case study" (p. 50).

These three focused, ex post facto, case studies each at a different site, used triangulation of various data collected at each site. Triangulation is the application and combination of several research methodologies in the study of the same phenomenon" (Denzin, 1988, p. 511). Kerlinger (1965) defined ex post facto research as:

...that research in which the independent variable or variables have already occurred and in which the researcher starts with the observation of a dependent variable or variables [effective principal/effective school]. He then studies the independent variable [characteristics, behaviors, and strategies] in retrospect for their possible relations to, and effects on, the dependent variable or variables" (p. 360)

Hakim (1987) equated the case study approach with a "...spotlight or microscope..." (p. 61) focused on selected social entities within a natural setting to produce "portraits". The author pointed out that descriptive case studies were excellent in portraying examples of "good practice".

Data from the Secondary Schools Recognition Program (SSRP) nomination form (See Appendix A) were used to obtain pre-visitation background information. The School Context and Climate Inventory (SCCI) (See Appendix B), observations, and interviews, were used to explore the leadership behaviors, characteristics, and strategies most supportive of implementing the principal's vision in each of three sample high schools. The researcher collected "hard" data needed to confirm the existence of excellence, but the scale of importance was

tilted to those aspects of "rich descriptions and new insights that can be obtained from qualitative field methods, detailed interviews and documents" (Smith, 1982, p. 28).

Sample Selection

The three schools for this study were chosen by a preplanned method. The intent was to select principals of any North Carolina (NC) high school (grades 9-12 or 10-12) nominated for national recognition by the NC State Department of Public Instruction (SDPI) during the 1988-1989 school year. Any principal of a nominated school would be included in the study provided the principal met two conditions. The principal must have been in the school three years or more as of the 1988-89 school year and must be continuing as principal in the selected school during the 1989-90 school year. These two conditions were imposed on the study to help assure that the status of the school, as well as the feelings of those within the school community, were related to the principal under study. As soon as the 1988-89 high school semi-finalists were selected by the NC SDPI the researcher held a conference with an Assistant State Superintendent to discuss each site. Five schools had been named as semi-finalists. Two principals were disqualified from the study; one principal was retiring, while the other was accepting a promotion for the 1989-90 school year. The three remaining principals became the sample for the study.

These principals were contacted to secure their participation in the study. After receiving favorable responses, the initial visits were scheduled. To provide anonymity these schools are labeled "A", "B", and "C" throughout the study.

Instruments

The SSRP nomination form had been developed by the United States Department of Education (USDOE) during the 1987-88 school year for use during the 1988-89 year. Jean Narayannon, Staff Director of the SSRP at the time of development, related that a distinguished blue-ribbon committee evaluated the previously used form and modified it to reflect more closely the current effective schools literature.

The 1988-1989 SSRP nomination form was comprised of three parts. Part I dealt with the demographics of the school district and the local school being nominated. Part II sought to confirm eligibility criteria. Part III was the "meat" of the form which solicited detailed information and examples concerning conditions of effectiveness that were evident within the school. The areas covered by the SSRP nomination form in Part III were: Leadership; Teaching Environment; Learning Environment; Institutional Vitality; Parental/Community Support; Indicators of Success; and Special Emphases, which included Geography and Strengthening Curriculum Requirements. The most significant area for this study was the Leadership section. All other sections were given full consideration in light of the fact that these areas supported, or failed to support, the actual implementation of the vision set forth in the Leadership section.

The Leadership section of the SSRP nomination form addresses the principal's vision for the school and its students and the development and implementation of a plan to actualize that vision. Significant emphasis is placed upon achievement of commitment to the shared purpose(s) of the school community and how members of that community accept specific responsibilities for the achievement of common goals.

The Teaching Environment section of the nomination form seeks to establish the degree of input and collaborative decision making authority held by teachers. The connection between participation in relevant inservice activities and the teacher evaluation process is probed.

The Learning Environment section of the nomination form seeks to establish the level of opportunities for all students to learn basic skills as well as realize their maximum potential. Areas explored include graduation requirements, the degree to which students participate in advanced work, staff commitment to on-going curriculum development and dropout prevention. Student participation in decision making is included here.

The Institutional Vitality section of the form addresses the degree to which long and short term evaluation, planning and re-evaluation are present.

The Parental and Community Support section deals with the degree to which parents and the community are involved in the school program.

The Indicators of Success section focuses on how the school community evaluates its success through the lens of student achievement. This section addresses the school's grading system, effective use of test data, and recognitions and awards received by students through appropriate competitions. The school's attendance and dropout rates, and the success of disciplinary procedures are included.

The final section, Special Emphasis, deals with special issues from year-to-year. During the 1988-89 school year this special emphasis was twofold. The first area of interest was the degree to which Geography was included in the curriculum, while the second dealt with incorporation of the "new basics" in the school's curriculum.

The SCCI developed by Wayson et al. was used to assess the climate of each setting. This inventory was originally developed in 1977 and later modified in 1979 and 1981. Wayson et al. (1981) discussed underlying assumptions for each of the eight clusters of the SCCI. "The Inventory identifies eight factors in school life that have a powerful influence on student (and staff) behavior" (p. 64). These eight factors reflect many of the same ideas found in the current effective schools research. "These eight factors make up the living curriculum of the school: they convey how we behave around here" (p. 65).

- Cluster 1. Items 1-5 and 37 dealt with "...the way in which people in the school work together to solve problems" (p. 31).
- Cluster 2. Items 5-9, 41, 42, and 44 addressed the need "...to reduce authority and status differences among all persons in the school" (p. 32).
- Cluster 3. Items 10-15, 39, and 40 concerned efforts "...to increase and widen students' sense of belonging in the school" (p. 37).
- Cluster 4. Items 16-19, 38 and 45 targeted the necessity "...to develop rules and disciplinary procedures that will promote self-discipline" (p. 41).
- Cluster 5. Items 20-23 involved the commitment "...to improve curriculum and instructional practices in order to reach more students" (p. 49).
- Cluster 6. Items 24-27 addressed the manner in which the school chooses "...to deal with personal problems that affect life within the school" (p. 52).
- Cluster 7. Items 28-31, 36, and 43 concerned ways "...to strengthen interaction between the school and the home" (p. 55).
- Cluster 8. Items 32-35 involved the degree of commitment "...to improve the physical facilities and organizational structure of the school to reinforce the other goals" (p. 59).

The instrument was not designed to yield a "correct" or "incorrect" rating; rather it was designed to be a "working guide" to assist those within the school environment to assess, and therefore, better understand their school. Wayson et al. suggested that the inventory be used "...to sort out which problems are most important and should be dealt with first" (p. 63). Permission for minor modification of the instrument was sought and obtained from the author in June of 1989.

Questioning guides were developed for observation and interview visits (See Appendix C). These questions were sharply focused on answering the questions of this research study. They were used to probe and clarify information gleaned from the SSRP, observations, and interviews previously conducted at that particular site.

Reliability

Reliability, per Gay (1981), "...is the degree to which a test consistently measures whatever it is supposed to measure." This is usually stated as a numeric coefficient, with "...a high coefficient indicating high reliability" (p. 138).

Achilles et al. (1982) confirmed the reliability of the revised SCCI through the use of the Kuder-Richardson formula 20. This method of establishing rational equivalence reliability was used to determine "...how all items...relate to all other items and to the total..." instrument (Gay, 1981, p. 121). The reliability of each of the eight clusters was individually analyzed. The overall reliability was estimated at .95; cluster reliability estimates ranged from .66 to .79. Internal consistency was established through use of the Cronbach's Alpha. "In the revised (dichotomous scoring) clusters the Cronbach's Alpha provides the same

results as K/R-20" (Achilles et al, p. 63).

The on-site visitations and interviews were conducted after the SSRP nomination form data were analyzed. A set of questions to be used as a guide during interviews was prepared to clarify the information gathered from the previously collected and analyzed data. In addition to this core of questions, the interviews followed the lead of the person being interviewed in order to gather as much data as possible. The amount of contact within the school was limited by the openness of each situation. The perceptions of those interviewed were the focal point of this research to better understand how the principals in the sample schools were able to articulate and effectively implement their visions of the effective high school.

In order to reduce the possibility of researcher bias, two strategies were used. Prior to the initiation of the study the researcher shadowed a highly respected local principal for one day. Interviews were conducted with the principal, as well as members of his faculty, to give the researcher practice in this area of research. The second strategy involved a second observer visiting each site on the researcher's first visit. This was done in an effort to confirm the reliability, as well as the validity, of the observations of the researcher.

Validity

Validity, per Gay (1981), "...is the degree to which a test measures what it is supposed to measure" (p. 137). Webb et al. (1965) coined the term "triangulation", used to support research findings through independent measures that point to the same conclusions. Triangulation is supported by Cook and Reichardt (1979). "The theoretical and practical development of qualitative

measures which can be integrated with quantitative approaches is essential" (p. 97).

The SSRP nomination form was developed by highly respected members of the educational community. The form was built around the theoretic framework of the effective schools literature. The 1988-89 nomination form was developed through an evolutionary process. The original form evaluated "...five outcome measures and 14 attributes of success identified in current school effectiveness studies" (Corcoran & Wilson, 1986, p. ix). The revised 1988-1989 form continued to use the effective schools research for its base, though it focused on seven, previously discussed, areas relevant to the effective schools. The validity of this form rested upon the assumption that a critical mass of the correlates of the effective schools literature will produce an effective school.

The SCCI has:

...construct (theoretical and rational support), content (instrument samples that about which conclusions are to be drawn), and face (instrument developed by intelligence, intuition and realism by those "expert" in the field) validity...It has been used as a diagnostic tool in workshops for teachers ...and has been refined by them (field test or ecological validity). (Achilles et al., 1982, p. 61)

The SCCI has been developed, refined and used by experts in conjunction with several major research projects including the Institute for Effective Integrated Education, Phi Delta Kappa's Discipline Study and the New Castle County, Delaware Desegregation Area Study of Issues Related to Discipline, Grouping and Tracking, and Special Education (Achilles et al., 1982, p. 61).

Three visits were made to each school. The visits helped the researcher to refine questions, approach topics from different positions and see the principal in action over a longer period of time to determine which characteristics and

behaviors were most often demonstrated in everyday relationships within the educational community.

Before visiting the schools involved in the study, the researcher did a “shadowing” observation of a principal in a local high school in order to gain experience in the areas of questioning strategies, data recording and interviewing techniques.

Data Collection Procedures

A review of the literature was conducted focusing upon research in the areas of effective schools, effective principals, vision, and exemplary schools and their leaders.

The names of finalists nominated by the North Carolina Department of Public Instruction (SDPI) for national recognition by the SSRP were secured from the SDPI office. Each of the nominated schools was contacted to secure a copy of their nomination form, along with their willingness to participate in the study. Principals of three of the five high schools nominated for the 88-89 school year agreed to participate in the study. Two were excluded due to the promotion or retirement of the school’s principal. The initial data for each school were collected from this 1988-89 SSRP nomination form.

Three visits were made to each of the sample sites. These consisted of one introductory two to three hour visit focused upon building rapport with the principal, touring the facility, cooperatively setting the parameters of future visits, and securing appointments for the next visit. On each of the initial visits the researcher was accompanied by a research expert. A visitation schedule was

established though flexibility was the rule.

The second and third visits to each site were planned to gather data from the SCCI, to conduct interviews with the principal, members of the administrative leadership team, counselors, faculty members and students. While these interviews centered around the characteristics and behaviors that allowed the principals to implement their vision of the effective high school, they were of an informal nature. The number and depth of the interviews depended upon the openness of the principal in allowing such interviews and the availability of significant others to interview. The researcher used these interviews as an opportunity to clarify or confirm information from the nomination form. In case of school C, the third visit was made in conjunction with a visiting group from a school system interested in implementing an exemplary program being used in that school. This allowed a "third party" view of the principal in action. The qualitative approach to the study allowed continuous development as the study unfolded.

The observer made every effort to enter the field without preconceived ideas about the situation. Careful preparation preceded each visit. General questions and issues were identified prior to the field work to assure that the major focus of the study was maintained. Questions were initially determined by the content analysis of the nomination form, the reviewed effective school/principal literature, and information gathered on previous visits. Some questions differed by site, due to the individuality of each site. The core questions, consistent from site to site, were related to the effective schools research correlates, the vision of the principal, how that vision was articulated, and how change was effected to allow implementation of that vision.

The SCCI was administered to a convenience sample of students, teachers, parents, principal, and members of the principal's leadership team. In all cases except with parents, scan forms were used for the answers. Parents marked their responses directly on the climate inventory. The researcher then transferred these data to the scan form.

Students in English classes on the day of the administration completed the SCCI. At the principal's request, the researcher administered one class of the inventory in School A to establish the time required and allow one teacher to observe the administration. In schools A and C the principal requested that selected English teachers administer the SCCI at their convenience. In these two schools the forms were delivered during the second visit and picked up during the final visit. In school B the inventory was administered to four classes by the researcher during the second visit. Classes at this school were selected so that a representative sample of all class levels would be included. The Exceptional Child Service (ECS) class was not used because it had a small number of students and was taught during the same period as the Remedial Class, which was included.

Principals agreed to give teachers an opportunity to complete the SCCI. In school A 53 of 86 teachers (62%) completed the inventory, with 33 having the required three or more years of service within the sample school. In school B 29 of the 34 teachers (85%) completed the inventory, with 19 having the required three years of service. In school C 44 of the 109 teachers (40%) completed the inventory, with 33 meeting the 3 year service requirement.

Principals agreed to ask parents to complete the SCCI. The researcher suggested making the inventory available at the Fall open house, but the alloca-

tion of the necessary time was not acceptable to any of the three principals. All agreed to have "as many parents as possible" complete the SCCI before the final visit. By the end of the data collection principals had secured 9, 20 and 3 completed inventories for schools A, B and C respectively.

The SCCI was also administered to the principal and members of the administrative leadership team. The principal identified those persons considered to comprise the administrative leadership team and their responses were clustered with the principal's as "administration".

The researcher "shadowed" the principal one day at each site. As much time as possible was spent shadowing the principal on the other two days, though that was not the primary purpose. The researcher used audio recordings and written notes to record data during the interviews and observations. Other members of the community were interviewed, but recordings were not made in order to keep the interviews relaxed and informal.

Once collected through the on-site visits, the data were analyzed using the SSRP form framework. This method allowed triangulation of data collected.

Data Analysis Procedures

Because of the volume of material collected (an average of 46 pages per school for the SSRP data alone) data reduction was necessary. This reduction actually began through limiting the focus of the study as well as through selection of the analysis procedures.

Throughout the review of the literature a listing of reviewed studies was maintained. For each of the 36 studies major characteristics, behaviors, or strategies emphasized in the study were recorded. Characteristics emphasized by four

or more studies were considered as significant. This data reduction yielded a manageable list of characteristics, behaviors, and strategies supported by the literature as being identified with successful principals in effective schools.

Content analysis was done by the researcher for each of the seven areas covered by the SSRP nomination form. These data were compiled in a columnar manner to make data comparison more manageable. (See Appendix D.)

Critical data for this study were in the leadership section of the nomination form, though other sections contained many clues as to the how of the principal's leadership toward vision actualization. Miles and Huberman (1984) note that "...a case always occurs in a specified setting; we cannot study individual cases devoid of their context..." (p. 28). Data from additional sections of the SSRP nomination form were used to confirm the accuracy of reported information and as springboards for additional questioning and research.

The nomination form also provided helpful demographic data. Table 1 shows a sample of this demographic analysis form. These data were supplemented through interviews and site visits.

Table 1
SAMPLE DEMOGRAPHIC DATA COLLECTION FORM
Principal Vision Study, NC, 1989-1990

DEMOGRAPHIC DATA			
DESCRIPTOR	SCHOOL		
	A	B	C
Student enrollment by district			
9th			
10th			
11th			
12th			
total school enrollment			
Etc.			

The SCCI provided a quantitative picture of the climate of each site as perceived by students, parents, teachers, and administrators. Median scores were used for the analysis rather than the mean due to the differing sizes of the data groups. The degree of significant difference among groups related to each question and cluster was addressed descriptively rather than statistically because it was determined to be more meaningful to the study. A by-question analysis was done for each sub-group within each school. Each of the eight data clusters was analyzed for each sample group by school. This by-cluster analysis reflected minority/majority response differences. Inventory data were not used from respondents who had been in the sample school for fewer than three years. Clusters having incomplete responses from an individual were deleted from consideration for two reasons: to accommodate the software (SAS) used in the data analysis, and to maintain the integrity of the reliability estimates of the instrument since Achilles et al. (1982) had omitted from cluster analysis "...all respondents who had any missing data (non-response to an item)..." within that cluster (p. 62).

Further data reduction occurred once all data were collected. A Principal's Characteristics, Behaviors, and Strategies form was designed using the listing of characteristics, behaviors, and strategies most often found in the reviewed literature. (See Table 2) These were then analyzed by the researcher based upon all available data. The source(s) of the data, such as the SSRP nomination form, observation, interview or inventory, used in the analysis were recorded.

TABLE 2
 SAMPLE OF PRINCIPAL'S CHARACTERISTICS, BEHAVIORS,
 AND STRATEGIES ANALYSIS FORM
 Principal's Vision Study, NC, 1989-90

CHARACTERISTIC, BEHAVIOR, OR STRATEGY FROM THE REVIEW OF THE LITERATURE	ANALYSIS					DATA SOURCE
	1	2	3	4	5	
LEADERSHIP OF THE PRINCIPAL						
Clear vision for school and self						
Vision articulation						
Resource allocation for vision attainment						
Problem analysis skills						
Research based framework for improvement						
Demonstrates oral and written skills						
Generates enthusiams and commitment						
Motivates others						
Participatory style evident						
Seeks positive change						
Opportunities for student government responsibilities						
Organization structured allows input						
Commitment to teacher efficacy						
Philosophy seen through actions						
Assumes role of instructional leader						

The review of the literature, as well as the SSRP nomination form, SCCI, observation, and interview data were displayed and analyzed to determine commonalities among the characteristics, behaviors, and strategies used by the three sample principals in actualizing their vision of the effective high school.

Summary

The purpose of this study was to determine those characteristics, behaviors, and strategies used by successful high school principals in implementing their visions of the effective high school. This series of three one-shot case studies used triangulation of qualitative and quantitative data from the review of the

literature, the SSRP nomination form, the SCCI, as well as the researcher observations and interviews to answer the research questions posed by this study and thus meet the objectives of the study.

CHAPTER 4

DATA ANALYSIS AND FINDINGS

Introduction

This study was done to help the researcher identify those characteristics, behaviors, and strategies employed by principals in the implementation of their visions of the effective high school. This descriptive, ex post facto study of three one-shot case studies focused on how three principals implemented their visions.

The findings of this study are presented in this chapter. The data presented here were collected in order to answer five research questions. The research questions explored were:

1. What are the effective schools research findings concerning articulation and implementation of the high school principal's vision?
2. What are the major components of the sample effective high school principals' visions?
3. What characteristics, behaviors, and strategies have been used by the sample principals to articulate and implement their visions of the effective high school?
4. What are the commonalities among the characteristics, behaviors, and strategies used by the sample principals?
5. What specific characteristics, behaviors, and strategies can be recommended to principals for use in implementing their visions of the effective high school?

Question five, although listed here, really became the organizing factor for Chapter Five, where the researcher synthesized the results of the study. See Chapter Five for details related to question five.

Demographics of Sample Sites and of the
High School English Classes Responding
to the Survey

The sample principals were chosen because their schools were North Carolina's (NC) Secondary School Recognition Program (SSRP) nominees for the 1988-89 school year. Each school had a unique setting, yet commonalities among the sample schools existed. The SSRP nomination form was used to acquire initial data. The demographic information gleaned from the SSRP form gave a quantitative picture of each site. The demographics from the SSRP form were supplemented by information gained through site visits and interviews. Table 3 presents selected demographics of each of the three sample sites.

Shown in Table 4 are the levels of Senior English classes in each school, the number of each type, and the number surveyed.

Table 3
 DEMOGRAPHIC DATA FOR
 SITES A, B, AND C
 Principal's Vision Study, NC, 1989-1990

DESCRIPTOR	SCHOOL		
	A	B	C
District Student Enrollment	4,289	2,304	8,536
Type system			
City System	X	X	
County System			X
DESCRIPTOR	A	B	C
Sample High School Enrollment			
9th	334	-0-	-0-
10th	339	191	717
11th	313	163	517
12th	303	158	545
Total	1,289	512	1,779
Schools in the district			
Elementary	5	3	11
Middle/Jr. High	2	1	4
High Schools	1	1	1
Alternative High Schools	1	-0-	-0-
Population Category			
Small town (less than 150,000)	X	X	X
Student Racial/Ethnic composition			
American Indian	.2%	-0-	.7%
Asian	1.3%	-0-	.6%
Hispanic	.2%	-0-	.1%
Black, not Hispanic origin	25.4%	27.0%	38.6%
White, not Hispanic origin	72.9%	73.0%	60.0%
Limited English proficiency			
Number	3	2	-0-
Percentage	.2%	.3%	
Free Lunch Recipients	5.6%	11.0%	26.0%

(table continues)

DESCRIPTOR	A	B	C
Staff Breakdown			
Administrators	5	3	5
Classroom Teachers (full time)	73	44	99
Classroom Teachers (part-time)	8	7	14
Teachers aides	5	1	2
Counselors	5	3	4
Subject area specialists	-0-	-0-	1
Library/media assistance	2	1	2
Social workers	-0-	-0-	4
Security officers	1	-0-	2
Food Service Personnel	7	5	8
Clerical	6	3	8
Custodial personnel	8	4	8
Years Principal in position	12	6	7
87-88 after-graduation plans			
Four year colleges	56.0%	33.0%	27.0%
Community College	25.0%	23.0%	42.0%
Military	7.0%	6.0%	4.0%
Enter Job Force	10.0%	7.0%	14.0%
Unknown/undecided	2.0%	31.0%	13.0%
Student attendance rate	92.0%	95.0%	93.9%
Teacher Attendance rate	93.0%	96.0%	95.8%
Reported discipline referrals	677	196	542
Students referred for discipline	433	87	388
Drop-out rate	2.4%	3.0%	4.6%
Awards/scholarships	555M	91M	NA

Table 4
ENGLISH CLASSES SURVEYED BY SCHOOL AND LEVEL
Principal's Vision Study, NC, 1989-1990

SCHOOL	DESCRIPTION OF CLASS	CLASSES IN SCHOOL	CLASSES SURVEYED
A	Advanced Placement	2	1
A	Regular	7	3
A	Basic	2	1
B	Phase I (AG)	2	1
B	Phase II (General)	4	2
B	Phase III (Remedial)	1	1
B	Phase IV (ECS)	1	0
C	Advanced Placement	1	1
C	Academically Gifted	1	1
C	Pre College	7	3
C	Regular	7	2
C	Basic	3	2

Research Questions

QUESTION 1: WHAT ARE THE EFFECTIVE SCHOOLS RESEARCH FINDINGS CONCERNING ARTICULATION AND IMPLEMENTATION OF THE HIGH SCHOOL PRINCIPAL'S VISION?

As a result of the review of the recent literature on effective schools, effective principals, vision, climate, change models, and exemplary effective high schools, a pool of principal characteristics, behaviors, and strategies surfaced as consistent throughout the reviewed literature. From the 36 studies reviewed, key positive principal characteristics, behaviors, and strategies were recorded and a frequency was done. Table 4 shows those items specifically reported by 10% (4) or more of the 36 studies as important to the principal in achieving an effective

school. The number and percent (of N=36) of studies that included the characteristic, behavior, or strategy as important is also shown in Table 5.

Table 5
FREQUENCY AND PERCENTAGE OF CHARACTERISTICS, BEHAVIORS,
AND STRATEGIES GLEANED FROM THE
REVIEW OF THE LITERATURE
Principal's Vision Study, NC, 1989-1990

CHARACTERISTIC, BEHAVIOR, OR STRATEGY CITED IN THE REVIEW OF THE LITERATURE (36)	N	FREQUENCY % OF STUDIES
•Leadership of the Principal	28	78
•High Expectations for self and others	22	61
Clear vision of school/personal success	19	53
Vision articulated	19	53
•Student achievement frequently monitored	19	53
Participatory style	15	42
Fair and consistent discipline	15	42
•Safe, orderly, and accepting environment	12	33
•Positive relations with parents/community	12	33
•Clear instructional focus	12	33
Academic Learning Time Emphasized	12	33
Fosters positive climate	12	33
Acts as a culture builder	12	33
Collaborative environment encouraged	10	28
Student achievement is the top priority	8	22
Decisiveness	7	19
Resources allocated for vision attainment	6	17
Evaluation used for instr. improvement	6	17
Teacher efficacy	6	17
Careful selection of faculty members	6	17
Problem analysis skills	5	14
Motivates others	5	14
Rewards and recognizes students	5	14
Seeks positive change	5	14
Commitment and enthusiasm	5	14
Research based framework for improvement	4	11
Directly involved in classroom instruction	4	11
Assumes role of instructional leader	4	11
Rewards and recognizes teachers	4	11
Good Judgment	4	11
Organizational ability	4	11
Opportunities for student govern. respons.	4	11

NOTE: A bullet indicates an item consistently correlated with effective schools by the literature.

The majority of the early effective schools studies centered on elementary schools of urban centers (Brookover & Lezotte, 1977; Edmonds, 1979; Weber, 1971). Researchers warned that the effective schools research could not be applied wholesale to the high school without close scrutiny (Corcoran & Wilson, 1986; Cuban, 1983; Firestone & Herriott, 1982; Purkey & Smith, 1982; Studman, 1987).

When looking at the research available which specifically targeted effective high schools, the amount of data sharply decreased. To complicate the matter further, the lines among effective schools, the leadership of the principal, and the importance of vision, were often blurred.

Any school organization is either in a state of improvement or decline. This state is closely tied to the principal's ability to lead. Part of this ability to lead is encapsulated in the ability to establish an organizational vision of what the school could be with successful implementation of desired goals and objectives. These goals and objectives discussed throughout the literature came from the list of effective schools characteristics.

When the list of attributes of effective high schools is surveyed, "order and discipline" (Corcoran & Wilson, 1982, p. 2) are high on the list. To actualize the vision component of order and discipline, the organization's leader must be able to assist organization members in defining what order and discipline are for that organization. The principal must have the personal relations and communication skills to work effectively with teachers, students, parents, district-level administrators, and the public-at-large. Elements of the vision (in this case, order and discipline) must be defined; a broad base of support must be established; equality must be guaranteed while articulating expectations and

defining consequences for all groups involved. Once support is established, implementation of the order and discipline plan must be carried out on a day-to-day basis. This requires the expenditure of energy, time to organize a workable plan of action that can be effected by the available staff, and rewards and sanctions for all involved. Success will depend upon the courage and decisiveness of the leader in supporting the agreed upon discipline plan and those within the organization who meet with resistance in its implementation. This example highlights the need to see the complex inter-relationships among the school, its community, and the characteristics, behaviors, and strategies used by the principal in actualizing her vision of an effective school.

The above example supports Purkey and Smith's (1982) rejection of the "recipe model" for school improvement in favor of a more complex, yet more common sense model involving change. This model projected the belief that "...consensus among the staff of a school is more powerful than overt control, without ignoring the need for leadership" (p. 68). The authors contended that this humanistic, cultural interpretation of the literature was equally appropriate for elementary and secondary environments. It was acknowledged that the high school's departmental structure, social complexity, and sheer size suggested that bringing change to the high school would be a slow, energy-demanding adventure.

Through the review of the literature a portrait of the successful visionary principal emerged. The review of the literature projected a culture builder who fostered a collaborative environment through a participatory leadership style. This culture builder valued student achievement and carefully monitored it as the top priority of the school. A vision (mission) is articulated and actualized

through favorable resource allocations including time, money, and energy. The evaluation process was valued as a method of instructional improvement that could foster a positive climate where academic learning time was emphasized and a clear instructional focus dominated the environment. Various studies presented a variegated panoply of characteristics lists. An analysis of these studies confirmed for the researcher the need for a critical mass of positive characteristics, rather than simply following a check list.

QUESTION 2: WHAT ARE THE MAJOR COMPONENTS OF THE SAMPLE EFFECTIVE HIGH SCHOOL PRINCIPALS' VISIONS?

The data drawn from the SSRP nomination form's Leadership section, on-site interviews, and observations were used to address this question. The data from these sources were reduced via content analysis to a columnar reporting of the statements of and about each selected principal. (See Appendix D) Each principal was studied separately in order to ascertain the likes and differences among the sample population.

School-by-School Narrative

Principal A

Principal A initially made global statements when asked to state his vision for his school. He repeatedly stated that he wanted his school to pursue excellence in all areas, provide a comprehensive program that could meet the needs of students, and provide an environment of high expectations. He found it hard to believe that a principal could function successfully in a high school today and not have a vision for his school. While discussing his school and his leadership within the school, it became clear that he had a very definite vision for

his school and was pursuing it vigorously.

Principal A made it clear to students, teachers, members of his administrative team, the community, and the central administration that he had high expectations of all those involved in School A, including himself. He expected professionals to behave professionally in their relations with students, peers, parents, and members of the community. His actions mirrored his confidence in the professionalism of the faculty and he took great pride in displaying and discussing their accomplishments. He repeatedly gave others credit for the positive status of the school.

While he had few whole-faculty meetings, he frequently met with small groups or departments to discuss the organization, curriculum, climate, or other areas needing attention. His down-to-specifics, nuts-and-bolts philosophy was seen in an example of his response to a group of teachers who approached him about providing more emphasis on thinking skills throughout the curriculum. Rather than buy a "canned" program, he introduced the teachers of the ad hoc Thinking Skills Committee, which he formed, to a variety of thinking skills programs. Once the interested teachers knew the research and available resources, they wrote their own program to infuse thinking skills into their curriculum. These teachers were paid to work a limited number of days over the summer; they made curricular revisions and planned inservice for the faculty. The inservice was presented by the thinking skills "experts" of School A. Faculty were invited to come several days preceding the beginning of school for this training. More than half of the teachers came. Training was offered again later in the year for those who became interested in the project. This same procedure of site-based, classroom-oriented initiative was repeatedly outlined in discussing

such inservice topics as new or revised course offerings, seminar teaching, scholastic competition opportunities, writing across the curriculum, Advanced Placement (AP) courses, and decision making and study skills development. Principal A used high expectations to motivate those within the organization to stretch toward maximum potential.

The expectation of professional competence was mentioned during several interviews. The principal expected teachers to exemplify excellence; e.g. to use a variety of instructional strategies, engage students at their instructional levels and be involved in an on-going, self-directed program of professional development. Teachers assisted students by being available for routine office hours. Students were expected to prepare for class; teachers were expected to plan and have materials ready to present challenging, informative, interesting lessons. Students were expected to be well behaved; teachers were expected to model self-control, respect, and patience.

Teachers who did not meet the challenge were urged to improve. The principal encouraged peer observation, invested time and energy in extensive teacher observations and encouraged teachers to attend workshops, to take coursework or to meet with district curriculum specialists. On one visit, the researcher interviewed an assistant principal who was filming and critiquing a teacher having difficulty with content delivery and pacing. Several administrators had already observed and counseled this teacher. Observations were an integral part of principal A's routine. Instructional improvement and self evaluation were the obvious results. There seemed to be an unspoken agreement between principal A and the faculty that if teachers were doing their professional best they would be supported and if not they would be "monitored

and assisted” until they either improved or decided to leave the school. This attitude demonstrates Peters (1986) “soft is hard” theory.

Principal A used recruiting of new faculty members as a method of improving the school (vision articulation and eventual implementation). He sought teachers who would make an extra commitment to meet student needs through after hours tutoring, conferencing, teaching specialty courses, and participating in special events. He personally screened teaching candidates state-wide. He emphasized the advantages in being able to set expectations for the new teacher during the interviewing process. The expectations were clearly stated, and only candidates who made a commitment to meet those expectations were selected.

One of Principal A’s expectations for himself was to be strong enough to listen to the facts, to act on his best judgement and to be accountable for the consequences of his actions. While he obviously listened to his faculty members, he made the final decisions. This was not done in a manipulative way, but in a straight forward, decisive manner that instilled confidence and respect even when the decision was not popular. Principal A was a calculated risk-taker.

Principal A had high personal expectations of being a life-long learner. He took advantage of inservice opportunities, read extensively and challenged himself. For example he was teaching lessons in an AP European History class as a way to mirror the type of preparation and teaching he expected in an AP class.

Principal A demonstrated good problem finding and problem solving skills. He seemed to have the ability to assess a situation, see the big picture, and determine an organized, workable plan of action. He related the story of his

coming to the school in the early 70's. When he arrived the Board of Education was concerned that discipline was a major problem, the failure rate was high and teacher morale was low. The Board directed him to "get the school in order". After assessing the situation, he decided that the most pressing problem centered around a fragmented curriculum that did not present academically challenging work for students and did not adequately prepare them for college or work. He coordinated the streamlining of the curriculum by working with departments to determine curriculum changes and appropriate expectations for specific courses. The school soon began to thrive.

Principal A was instrumental in initiating an alternative high school program in the district, for students involved in repeated discipline or attendance problems. This available alternative provided leverage in implementing the desired expectations. Faculty members expressed appreciation for the opportunity to work in a school where disciplinary problems were minimal, the principal was supportive, and action was taken to reduce behavior problems.

High expectations were reflected in the standards of behavior and performance. Students were expected to be well behaved, prepared, and on time to classes. At the change of classes every faculty member, including all administrators, stepped to the hall or commons area for supervision. Consistently, students were in class, the teacher had shut the door, and the class was ready to begin the day's work as the bell rang.

The focus on appropriately high expectations included students taking the most challenging courses possible, faculty members making every effort to assure student success, and community support in return for positive results.

Principal A emphasized the value of the individual and the importance of each student reaching for excellence. These expectations were consistently held and closely monitored by the principal. He met with randomly selected groups of students from time to time to discuss their feelings related to particular issues. Students were expected to produce high quality work to carry on the traditions of the school. In addition to High IQ Bowl awards, the school had a trophy case in the entrance commons filled with academic prizes.

The principal's expectations of high quality performance went beyond strict academic pursuits. Manufacturing students produced high quality furniture items. One example of student work was proudly displayed in the principal's office. The furniture making classes had presented him with a grandfather clock that students made. The clock was a thing of beauty that exemplified the standard for achievement in that class. Each year students in the Furniture class constructed chairs as a project. At the time of the final visit to School A the chairs were on display. Students could sell the chairs and keep the profit since the materials had been donated by a local furniture maker. The researcher talked with two students who had chairs on display; they were proud of their products and were enthusiastic about their learning and success. Through his crisp, business-like manner, the principal's pride and approval beamed through. The Graphic Arts students produced all district-level printing projects, as well as the school newspaper. One of the students said that they "...try to make each paper look more professionally done than the ones before it." Students in this class were spread throughout the lab which included a press room, commercial arts room, and a dark room. The teacher, much like a department manager, was available to answer technical questions, make

suggestions and keep the projects organized and on schedule.

Principal A said that he was proud of the school's athletic program, but tried to down-play successes in that area because the community already brought a tremendous amount of support to that area of the school program. His goal (vision) was to have a school in which academic achievement received at least as much attention as athletic achievement.

Principal A expressed a firm commitment to a high quality comprehensive program in all areas of the curriculum. He expected each faculty member to contribute to the program. In return, teachers were given no responsibilities in the areas of lunchroom supervision, bus duty, or monitoring of any kind, with the exception of monitoring the hall outside their rooms during class changes. Full-time teachers carried a five period course load, so classes were of a manageable size. The average English class had 22 pupils; the teacher load in the English department averaged 109. Only two departmental averages exceed 110 students per teacher: the Science department, where the average was 122 pupils per teacher and Physical Education, where the average was 126 per teacher. Resources were allocated to support the designed program. Resource allocation was evaluated by teachers as to the effectiveness of the materials requested in meeting the stated goals of each department; the principal maintained veto power over all spending and reviewed each request. Without justification, funds were not expended. Most departments frowned upon requests for "worksheet generators". As a result, funding was available for items not usually found in classrooms. For example, English teachers were expected to allocate instructional time throughout the year to Scholastic Aptitude Test (SAT) preparation. Resources have been allocated to secure needed materials in class

sets, rather than a single resource desk copy. Teachers were expected to emphasize the writing process, research, and higher level thinking skills development. Class sets of supplementary books and anthologies were typical requests. This assured students' use of meaningful materials, thus raising the likelihood that the written curriculum actually would be taught.

Throughout the visits at school A, the principal repeatedly pointed out that he had opposition, but had been successful in maintaining a majority of faculty member support for his views (vision) of what a good school should be. Members of the Administrative Team supported these perceptions, stating that those in opposition were usually those unwilling to invest the time and energy in doing "the best job possible" for the students, themselves, and the community. This segment of the faculty was held in check by the strong will of the principal and the abundance of loyalty from the majority of faculty members who were quite vocal and generous with praise. This mirrored the superintendent's concerns about poor community public relations, yet support because of the consistently positive outcomes achieved.

Principal A admitted that he was not strong in the area of public relations or communication in large groups. His school did not have a formal advisory council or Parent Teacher organization. To fulfill his vision, he carried on the important task of community relations through personal contacts and small group meetings. These contacts have been quite productive with local businesses donating equipment and sponsorship of major school projects. Parent contacts have been made on a small group or individual basis also. Parents were encouraged to become involved with their student's program design and registration. During these one-on-one conferences the counselor discussed the

students past achievement, test scores that offer insight into innate ability, and the students expressed future goals. In light of these factors students were encouraged to take the most challenging courses available which meet their needs. Though parent requests for placement were honored, every effort was made to place students in courses that represented their instructional level, and were applicable to their stated future goals. Counselors and teachers interviewed emphasized the importance of keeping parents informed and enlisting their support of the school program. Public relations was the weak link in Principal A's leadership chain of control.

Those interviewed reiterated the principal's self-diagnosis of being a benevolent dictator. Principal A said that he favored faculty input and discussion, but in the final analysis, he was responsible for the outcomes of decisions made, and he would make them. He felt there were times when the principal must have the personal strength and commitment to say, "This is the way it will be, because I feel this is in the best interest of the students we teach." Teachers were closely attuned to the vision of the principal and often used his wording related to "quality and care for all" students. The principal was credited with the smooth operation of the school and most of those interviewed expressed appreciation for the opportunity to work in such a good school; several, however, expressed feelings of frustration because of the consistent pressure to succeed, and then to go beyond.

Principal B

When initially asked to discuss his vision of the effective high school, Principal B mirrored the common generalities of Principal A. He said he wanted his school to be a warm, caring, humanistic, and student-centered place.

Throughout the interviews and observations Principal B referred to these key phrases, but had some difficulty about specifics of his vision. He stated that he felt that high expectations for students and faculty was the most important factor in developing each student to his/her fullest. He leaned heavily upon the effective schools literature. He believed that all students could learn and that educators should find ways to meet student needs. He was a strong advocate of student involvement. The faculty members interviewed also repeated these beliefs as important to the principal.

Principal B, like Principal A, held whole-faculty meetings “only when needed”. The loose organizational structure hinged on the leadership team, which consisted of the administration, a Guidance representative, and the eight department heads. Several teachers were informally sought out when matters arose that needed staff input. Most ideas appeared to be generated in a top-down manner, with teachers responding to the degree they felt necessary. Principal B stated that his strategy was to generate a list of activities that needed to be done, to share the list with the teachers and to give them the option of selecting those things with which they would like to work. In spite of this, Principal B described himself as a soundingboard, where teachers could express their ideas and get feedback. Teachers spoke of feeling informed, involved, and supported.

Principal B had high personal expectations. He felt that he should plant seeds, cultivate them and give credit to the teachers who helped them take root. He threw out many ideas in the form of research information, sample programs, general suggestions for improvement and excellence. He expressed his expectations through assumptions that teachers were, of course, doing specific

things that he talked about in meetings and memos, such as learning styles, positive student/teacher interactions, close parent contact, reducing the number of worksheets that students were subjected to, and attention to discipline situations before they became major problems. He said that it was extremely important for him to be visible in the halls and cafeteria where students and teachers could be aware of his presence. In this way he expressed his expectations about situations before the situations became problems.

Principal B stated that his projecting high expectations for the faculty was the most important road to instructional improvement in the school. He expected teachers to get maximum use of instructional time, to teach the agreed-upon curriculum and to use various instructional strategies to assist students in learning required content. In discussing how teacher evaluation effected these expectations, he admitted that observations were done as required by the state evaluation criteria. Other than that, observations were the informal, walk-through type. According to Principal B, he monitored "Questionable" teachers closely and formally. Principal B shared that he was not "after" any teacher at the time of the researcher's visit. For those teachers with acceptable performance, Principal B relied on memory to complete evaluations of most teachers. He used personal notes to let teachers know the "good news" and to acknowledge their efforts. He was reluctant to walk through some classes because he felt this would disturb the class. He repeatedly referred to his belief in Management By Walking Around.

Principal B stated that administrative and faculty behaviors set high expectations for students. Students were expected to come to school prepared, to be respectful, and to participate in academic and non-academic activities. AP

courses had just been added to the curriculum and bright students were expected to take the courses and the AP exams. Students did not register for “below phase (level)” classes without parental input. Strong booster clubs supported the athletic program which gave many opportunities for participation and the development of a strong school spirit.

Principal B felt that motivation of teachers and students was important if the school was going to be able to make a difference in the lives of children. He wrote a considerable number of personal notes to teachers letting them know that he appreciated their efforts and mentioned specific things that he observed and considered effective. He attributed the warm climate and teachers’ willingness to go beyond the required level of performance to this personal contact. He planned and presented many of the inservice presentations and used them to motivate and energize teachers. Another method of motivation was the allocation of resources. Principal B stated that he was willing to use Channel One, the Connections program, or Senate Bill 2 incentive money if it helped motivate students and assisted teachers in developing motivational techniques.

Researcher observations did not whole-heartedly confirm the high expectations and positive motivation stated by the principal. While rules were posted in all classrooms observed, they were not consistently enforced. Most students were on time, but the researcher did not observe any action taken regarding late students who entered the room and took their seats without comment. Students in several classes ate snacks without teacher comment, even though the class rules clearly defined this as inappropriate. All observed academic classes used a lecture format presentation with students sitting quietly in traditional rows, listening, and taking notes, or completing worksheets.

The principal felt that one of the easiest ways to bring about positive change was through recruiting. Teachers said that peer professionals wanted to teach at School B because it was a safe, well disciplined place to teach and had a good reputation and firm community support. They pointed out with pride that the principal left them alone if they did their jobs.

Principal B felt that problem solving success was necessary to his vision. He often talked with his faculty about developing problem solving skills. He stated that "The key to problem-solving is to be ready when something happens and respond." This reactive stance seemed to downplay problem finding. This philosophy seemed to explain the "selective ignoring" of some issues that ran against vision statements (consistent rules, high expectations, responding to students' learning styles, etc.).

Principal B was involved in discipline to the extent that he was highly visible and handled situations that he became involved in as a result. An assistant principal was responsible for disciplinary matters and In-School Suspension. Most students were well behaved and purposeful in the halls and in classes observed.

Principal B initially appeared to be a master at maintaining community support. He spoke of working with community leaders to assess perceptions, community needs, and student needs, yet he had no organized PTA or Advisory Council. When asked how he managed to maintain this support he mentioned individual discussions with key community members at ball games and cultural events held at the school. The school auditorium was actually the community center, offering professional, as well as community sponsored cultural activities.

Two significant examples of community support were points of obvious

pride for Principal B. The community had recently passed a sizeable bond issue in order to expand the school plant. When completed, this major addition would expand the cafeteria, library and physical education facilities, and provide six new classrooms and new administrative offices. These new offices would allow the Guidance Department to move into the old administrative offices where they would have more space. The previous Guidance area would then be returned to classroom spaces. The other major undertaking for Principal B was his success in getting community support and funding for a Senior Leadership Seminar. This program included all seniors in a full day's activities at a local convention center. The program called for students to be divided into small career interest groups. Each group required a community business volunteer leader to focus the group in a wide variety of activities related to ethical decision making in the workplace.

The principal attributed a broad base of community support to the fact people knew what was going on in the schools. School persons always tried to tell the good news in as many ways as possible. Parents were informed through a Parent Link newsletter program; the media sought and printed newsworthy stories from the school. Opposition to merger was an issue that seemed to cement the community together. The community fought merger by backing the principal's leadership.

Principal B's vision included the components of the effective school correlates, with an emphasis on high expectations. His leadership style was quite *lais'sez faire* with an emphasis on Management By Walking Around. When asked his vision of his role in school improvement he expressed support for site-based decision making and teacher empowerment. He truly used the metaphor of the machine. "I wind them (teachers) up and let them go. When

they seem to be running down, I wind them up again.” Teachers were stimulated by research findings, program ideas, or motivational talks, then left to let the ideas incubate and take hold if the teachers invested the energy to allow this to happen.

One area of weakness for Principal B in achieving the vision he articulated appeared to be a lack of follow-through. Programs and activities mentioned in the SSRP nomination form lacked a clear focus upon close examination. Examples included the adopt-a-student program, which had not been implemented; the development of a History of the City course curriculum, which had not been completed; and disaggregation and use of the previous year’s PSAT data, which had not been done. When asked about these items, Principal B explained that these ideas were springboards that he had thrown out and it was up to the teachers to decide if they were worthy of implementation. Once this interest surfaced he would invest his time in organizing an implementation effort. This approach and use of general statements targeting improvement but without specific plans of action hampered this school from being truly outstanding.

Principal C

When asked to state the components of his vision for his school, Principal C initially responded in much the same way as the other two subjects. He stated a desire to have his school be “...all that it could be”. Observations and interviews showed that Principal C had very definite philosophical views of what his school should be. He stated that communication among, and involvement by, students, parents, and community were important to the overall success of the program. A concrete organizational structure pursuing clear goals,

with frequent assessment of progress toward those agreed upon goals, was seen as necessary to success. Principal C frequently used the effective schools research to frame his vision and to support his position; he quoted facts related to various points he wished to make. After being with him for several hours, it seemed that certain "old tapes" were being replayed almost verbatim.

Principal C's vision supported a strong, visible organizational structure to enhance the school and encourage participation and thus strengthen the concept of site-based management. The school's leadership team included the administration and all department chairs. Meetings were scheduled "as needed", but further individual discussion with Principal C and teachers revealed that these meetings were regularly scheduled. Printed agendas were shared with teachers prior to the meetings. One teacher who was on the team had a conflict with the meeting time due to Teaching Fellow interviews. She sought the principal out to resolve the conflict. The principal asked for the teacher opinions on several agenda items. The teacher was assured that those views would be expressed to the group. The principal asked another teacher to have someone else cover the conflicting student organization meeting, so the teacher could attend the leadership meeting. Although there were a number of information items, the major item of the agenda that day was the approval of two revised courses of study. Both were unanimously approved with very little discussion. They were then sent to the Board of Education for final approval so the revised courses could be taught during the following school year.

The development of good citizenship was obviously important to Principal C's vision. He referred to students concerning the need to be good citizens within the school during disciplinary interviews. The large In-School

Suspension Program (ISS), with a maximum of 19 seats, also had a service component option. Students sent to ISS could select to do school service projects in lieu of attending ISS. The researcher observed students cleaning the cafeteria during a brief part of their lunch period each day until the agreed upon time was served. The assistant principal in charge of ISS admitted that with a consistent two to three day backlog of students to serve time in ISS, the service option was a blessing. She stated that many students were sent to ISS for attendance-related problems and classroom-discipline problems. Students in the commons areas and halls demonstrated good citizenship and cooperation. The entire building became totally quiet during the "moment of silence" that was observed at the beginning of the daily announcements made by the principal.

Principal C emphasized that his vision included the need for him constantly to be visible and voicing a clear commitment to academics and citizenship. He spoke of his vision being reflected in the Greek ideal of a strong body and a keen mind. This rhetoric seemed necessary to describe the facade, as the attractive, graying, middle-aged chain-smoker who repeatedly dusted the cigarette ashes from his desk with a feather duster did not demonstrate the Greek ideal. There seemed to be a constant effort to make the mundane appear special. There was a broad discussion of inservice. The offerings discussed as most exciting were Effective Teacher Training and Mentor Support Training. Principal C continually referred to a large number of people as "Doctor". Several teachers appeared uncomfortable with this introduction and noted that it was just Principal C's way of complimenting a person. The principal always introduced the researcher as Doctor.

Another facet of Principal C's vision involved a variety of stated or

implied expectations. These expectations began with the staff. The principal said that the number one job of the faculty was to promote student success, which he closely linked with employability. For the last year the principal had been working to establish more uniformity of faculty grading practices. One faculty member had developed a computerized grade recording system which the principal strongly recommended that all faculty members use. He confided that as soon as half of the faculty is using the system, it will be mandated for use by all teachers to assure uniformity.

Principal C often expressed that his vision of the principalship included the role of being the instructional leader. The principal's office reflected a corporate executive who was in the business of public relations and athletics. Autographed pictures from past football teams and cheerleading squads, team logo plaques, and framed newspaper accounts of winning games overpowered the suggested academic emphasis. Conversations related to leading the school usually became conversations about athletic excellence. The principal, at one point in an interview, replayed the ending series of plays leading to victory in the previous year's championship game. Every detail was included from the names of those on the front line to the point of the quarterback's release down after down. During another interview Principal C told a Social Studies teacher that he had secured some reference books from a community supporter for his Sociology/Economics class. The teacher reminded the principal that they no longer taught Sociology.

High student expectations were a part of Principal C's stated vision for his school. With six to ten percent of the student population identified educationally handicapped in some way, Principal C emphasized the need for

realistic expectations for students. He envisioned a school where more students pursued challenging academic courses especially in their senior year, so that they would be prepared for post-secondary education of some type. Progress has definitely been made in this area through the Technology Preparation (Tech Prep) Program. This program focused a student on one of three levels of vocational employment: Health and Human Services, Industrial, or Business Education. This program was built with strong cooperation with the local community college. Over the past five years, the percent of students going on to some type of post secondary training increased from 50% to 89%. Students were challenged to take more difficult courses because of a class rank procedure that used a weighting of the course level (Basic 15, General 30, Pre-college 45, and Honors 60) in conjunction with a weighting of the course grade (D 1, C 2, B 3, and A 4) to determine the final class rank. Unweighted scores are reported to colleges with no differentiation as to course levels. Principal C pointed out that this helped the athletes be more competitive and also to meet Proposition 48 guidelines.

Principal C expressed concern that the image of his school presented in the SSRP nomination form had not been recognized at the national level. He said he had used the nomination forms from several winning schools as a model for writing the one submitted. He had even decided where the flag sent to winners would be displayed.

In discussing Principal C's vision of his school, evaluation of teachers and the use of the process for the improvement of instruction was not mentioned.

Principal C emphasized the visionary importance of motivating students

and teachers to strive to be the best they can be. Students received academic letters at an Academic Awards Banquet. Admission to some of the more popular vocational programs required pre-tests and prerequisites. For example, to be admitted to the Electronics Program, a student had to have passed Algebra I and Introduction to Technology, with a grade of C or better.

The principal stated he supported students being given adequate information during registration in order to make the best possible course choices that mirrored their post high school goals. Students registered in the spring, with parent approval, for Fall classes. During the summer registration cards were sent to the students. Any corrections or changes had to be made during the summer. No changes were made after school reopened in the Fall.

Principal C placed importance upon teacher motivation. Teachers received pins to recognize their selection as Teacher of the Year. Teacher accomplishments were celebrated. Effective teachers were consulted during the decision making process.

When asked about the importance of recruiting teachers who were compatible with his vision, Principal C stated that he did not have a broad variety of teachers from which to choose. The sparsely populated county had a limited number of college graduates. Principal C emphasized the importance of continual inservice on the Tech Prep program in order to keep the faculty focused upon the goals and strategies necessary for success.

Principal C and the administrative team invested a significant amount of time and energy in assuring that the school appeared well disciplined. The principal and two of the four assistant principals dealt with disciplinary matters. He emphasized the need for students to feel they were treated fairly. The

researcher observed the principal working with several disciplinary cases. The student's personal responsibility with an emphasis upon social responsibility and citizenship were key issues addressed during each case. When one student objected to being sent to the office with the traditional "...I wasn't the only one..." the principal noted that the student and no one else was responsible for his actions and that a good citizen did what was right regardless of the actions of others. His ability to deal with difficult students was quite apparent. He was even tempered, soft spoken, yet firm, and presented a clear statement of the expectations of students and teachers within the school. Consequences were stated in relationship to the needs and rights of all members of the school community.

Several discrepancies did exist regarding discipline. The SSRP nomination form stated that "...Parent contact is made at all levels of disciplinary action." This was not observed though students were scheduled for ISS or its alternative, lunch detail. When visiting classrooms with the principal, the researcher found the disciplinary effectiveness of teachers from excellent to unacceptable. The principal made no positive or negative comments in any classrooms. In one instance, the principal opened a classroom door to be greeted by flying paper, out-of-seat behavior and talking. The teacher was seated at his desk reading papers. The principal backed out of the door without allowing the researcher to enter and commented: "Some of our teachers are not as strong as others". The principal stated that that particular class was not working and the situation would have to be addressed. When students were in the halls, cafeteria, library or commons they were quiet, polite and appeared to be on-task. In some classrooms a significant amount of off-task behavior was observed. The

observer concluded that the teachers did not provide the disciplinary consistency and fairness that the principal espoused in his vision statement.

Principal C stated that all students should be strongly encouraged to become involved in at least one extracurricular activity and/or community sponsored activities. Church activities seemed to be the most prevalent alternatives to school sponsored activities.

Principal C believed that students should have an opportunity to pursue education in more than one time frame. This was made possible by the extended day program that ran from 3 to 9 P.M. each day. Some students attended only extended day classes. Athletes were tutored through an athletic study hall. Students gained graduation credit by taking courses at the local community college that were not offered at the high school. Students needing assistance were guided through the Career Counseling Program.

The principal said that his success depended upon continued community support. The researcher could not help comparing Principal C with a smooth public relations agent. He was an active member of several community organization such as the Jaycees and used these contacts to strengthen his position as the educational leader of the community. He was an excellent speaker who made every effort to tell the good news about his school. Community backing ranged from financial support through special programs like the Fabulous 40 Club, to positive support through promotion of the Tech Prep program. Business leaders had employee meetings to discuss the importance of students pursuing post secondary training for the work force. This helped inform parents as to the advantages of their students being involved in the Tech Prep Program. The community supported the school through

attendance at school events, especially athletic contests. Home football games were taped and later broadcast on the local cable station. The half time included an interview with the principal discussing some important current aspect of the school program. This kept the public informed and helped maintain a constant level of support. While these points were strong indicators of community support, over time one became aware that few parents were actually involved in the school on a day-to-day, one-on-one basis. The PTO did not seem active; there were few structured opportunities for parent/teacher or teacher/parent contacts and few community volunteers in the school. The low average educational level of the entire county population may have been a factor, and/or the resulting feelings of alienation fostered by past failure of the school to meet the educational needs of the parents.

Principal C felt the school should serve the community. For example, the Cosmetology class provided free services to retirement homes and social service patrons. These students went into the community to render services to those who could not travel to the school. The Cosmetology lab was open to all community patrons one day a week for low cost services.

It was more difficult to assess the leadership style of Principal C than the styles of the other principals in the study because he appeared to be so situationally sensitive. While he consistently talked about the importance of instructional leadership, he was not personally involved except for generating the expectations that on-going curricular assessment and revision would occur. He seemed more interested in the fact that the assessment and revision was taking place than the quality of the work. He discussed the importance of good discipline while classrooms were inconsistently maintained and ISS was

consistently booked several days in advance. The situation resembled the proverbial powder keg checked by the frantic work of a few heroes who kept the lid on while assuring those in the community that all was well.

The researcher noted discrepancies between the spoken and the observed. Improvements have been made, but more needed to be done to bring an acceptable level of congruence between the back-stage reality and the front-stage production.

QUESTION 3: WHAT CHARACTERISTICS, BEHAVIORS, AND STRATEGIES HAVE BEEN USED BY THE SAMPLE PRINCIPALS TO ARTICULATE AND IMPLEMENT THEIR VISIONS OF THE EFFECTIVE HIGH SCHOOL?

The last six sections of the SSRP nomination form, as well as interview and observation data were used to explore exactly how the sample principals went about actualizing their visions of the effective high school. Many of the sections provided relevant information concerning each principal's vision, though some facets were not specifically discussed under the topic of vision. Due to its length, only the Leadership Section of the content analysis document has been included in Appendix D.

In addition to the data gained from the SSRP nomination form, observations, and interviews, the SCCI was used to assess the climate of the school. This quantitative snapshot of the perceptions of students, teachers, administrators, and to a lesser degree, parents, provided insight into the life of the school as seen by the various publics involved in its operation. 658 SCCI forms were distributed, with 598 being completed and returned for inclusion in the study. This represents a return rate of 90.8%. Of those completed forms, 411 were usable for the study since the respondents stated that they had been in the

school three or more years. Table 6 shows, by race, by school, totals of individuals who completed surveys and who had been in each school the three years or more required for inclusion in the study.

Table 6
TOTAL RESPONSES TO SCCI
BY RACE, BY SCHOOL
Principal's Vision Study, NC, 1989-1990

SUB-GROUP	SCHOOL A			SCHOOL B			SCHOOL C			TOTAL USEABLE
	N	W	NW	N	W	NW	N	W	NW	
Admin.	8	5	3	3	3	-0-	4	4	-0-	15
Parents	9	8	1	17	14	3	1	1	-0-	27
Teachers	36	35	1	19	17	2	33	26	7	88
Students	127	99	28	79	58	21	75	49	26	281
TOTALS	180	147	33	118	92	26	113	80	33	411

The data from the SCCI were analyzed in two ways. Initially, a question-by-question analysis was done to yield a median for each group of participants: administrators, teachers, students, and parents for each school (See Appendix E).

Finally, the eight clusters of the inventory were analyzed to yield the median for the total group, as well as the majority (i.e. white) and minority (non-white) respondents of schools A, B, and C (see Appendices F, G, and H).

Inventory data were not used for any respondent who reported on the response form that he/she had been in the sample school for less than three years.

Clusters having incomplete responses from an individual were deleted from consideration in the analysis of that cluster. Table 7 shows the by-cluster median for the SCCI by school.

TABLE 7
 SCHOOL CLIMATE AND CONTEXT INVENTORY GROUP DATA
 MEDIAN ANALYSIS BY CLUSTER, BY SCHOOL
 Principal's Vision Study, NC, 1989-1990

	SCHOOL A	SCHOOL B	SCHOOL C
CLUSTER I (Collaborative environment supports involvement of all groups. Items # 1-5, 37)			
Administration	3.42	3.58	4.17
Parents	2.83	3.83	4.67
Teachers	3.00	3.67	3.33
Students	2.67	3.67	3.00
CLUSTER II (Expectations are clearly communicated; students are treated fairly and equitably. Items # 6-9, 41, 42, 44)			
Administration	4.00	3.29	4.21
Parents	3.07	3.43	N.A.
Teachers	3.00	3.50	3.00
Students	2.43	3.00	2.86
CLUSTER III (Students feel that they belong to, and are important contributing members of, the school community. Items # 10-15, 39, 40)			
Administration	3.63	3.88	4.19
Parents	3.00	3.75	N.A.
Teachers	2.94	3.88	3.31
Students	2.88	3.88	3.13
CLUSTER IV (Rules support the educational growth of students. Items # 16-19, 38, 45)			
Administration	4.50	3.83	4.50
Parents	2.83	4.00	5.00
Teachers	3.58	4.08	3.50
Students	3.00	3.50	3.00
CLUSTER V (Teaching methods and materials reflect the instructional needs of students. Items # 20-23)			
Administration	4.00	4.00	4.25
Parents	3.00	3.50	N.A.
Teachers	3.50	4.00	3.63
Students	2.75	3.25	3.00
CLUSTER VI (Supportive assistance is provided students with non-academic problems. Items # 24-27)			
Administration	3.38	3.00	4.13
Parents	3.00	3.50	N.A.
Teachers	3.25	3.75	3.50
Students	2.50	3.00	2.75
CLUSTER VII (Positive public relations seeks to build bridges of understanding and break down stereotypes. Items # 28-31, 36, 43)			
Administration	3.25	3.33	3.00
Parents	2.25	3.33	N.A.
Teachers	2.75	3.17	2.50
Students	2.17	2.83	2.50
CLUSTER VIII (Physical environment is attractive and safe. Item # 32-35)			
Administration	4.00	3.00	4.25
Parents	3.00	4.25	5.00
Teachers	3.50	3.75	3.75
Students	2.75	3.75	3.25

Due to the disappointing number of valid parent forms, these data were not included in the analysis, though in most cases it fell in line with the other subgroups.

The graphs below illustrate the comparison of each of the clusters of the SCCI by subgroups (administration, teachers, and students) within each of the sample schools.

Cluster I dealt with the degree to which a collaborative school environment supported involvement of all groups in the decision making and problem solving processes. In schools A and C the administration rated the school higher than either students or teachers, while in school B students and teachers rated the environment higher than the principal.

Cluster II addressed expectations. Here, again, the administration in schools A and C rated the school higher than either teachers or students. In school B the administration rated the level of expectations below that of teachers, but above that of students.

Cluster III focused upon the feeling of being a valued, contributing member of the school community. The administration in Schools A and C ranked the cluster higher than teachers or students. School B had agreement among the administration, teachers and students regarding the feeling of belongingness.

Cluster IV dealt with the translation of expectations into rules that support the educational focus of the school. Schools A and C teachers and students rated this cluster lower than the administration. In school B teachers rated the cluster higher than the administration, while the students rated it lower.

Cluster V sought to establish the degree to which instructional needs of students were met through application of a variety of teaching methods and materials. In all three schools the administration rated the cluster higher than the students or teachers, with the exception of the school B teachers' rating, which was equal to the administration's.

Cluster VI assessed the degree to which non-academic problems were dealt with within the school. In schools A and C the administration rated the school's efforts higher than students or teachers. In school B, the administration rated the school's response at or below that of students and teachers.

Cluster VII evaluated the communication among faculty, parents, and community. The administration of all three schools rated this cluster higher than students or teachers.

Cluster VIII rated the attractiveness and safety of the physical environment. The administration in schools A and C rated the cluster higher than students or teachers, while school B found the administration rating the attractiveness and safety of the facility lower than students and teachers.

The level of agreement among students', teachers', and administrative perception was one indicator of the degree of each principal's success in articulating and actually implementing their visions of the effective high school in the area of climate. In order to depict these levels of agreement among SCCI cluster ratings by students, teachers and administration, a series of graphs was constructed. Figures 1, 2, and 3 show the median for administration, students, and teachers by school.

In school A teacher and student median ratings for all clusters were below that of the administration. Cluster 2, dealing with fair and equitable

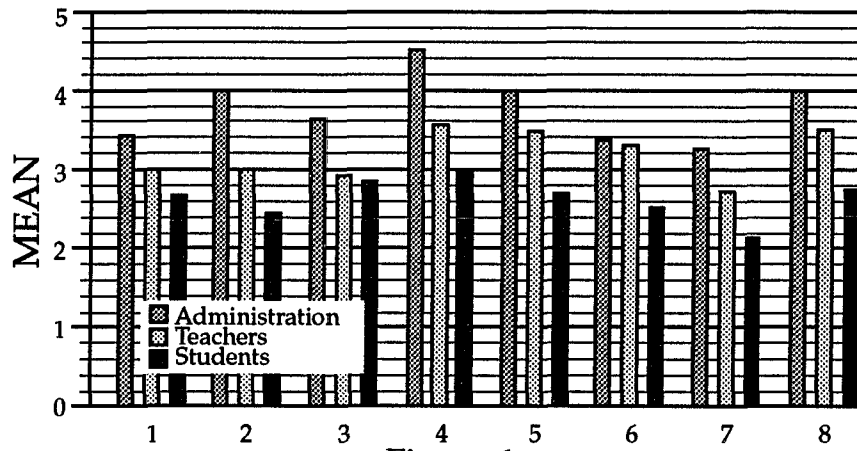


Figure 1.
COMPARISON OF SCCI MEAN — SCHOOL A

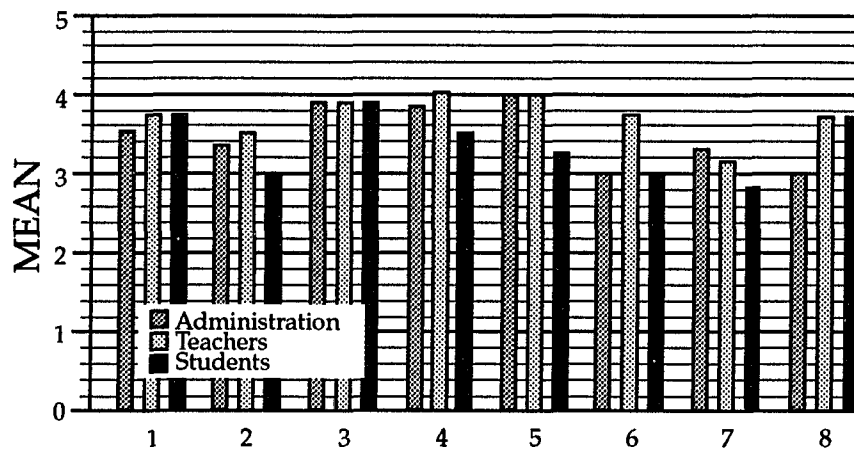


Figure 2.
COMPARISON OF SCCI MEAN — SCHOOL B

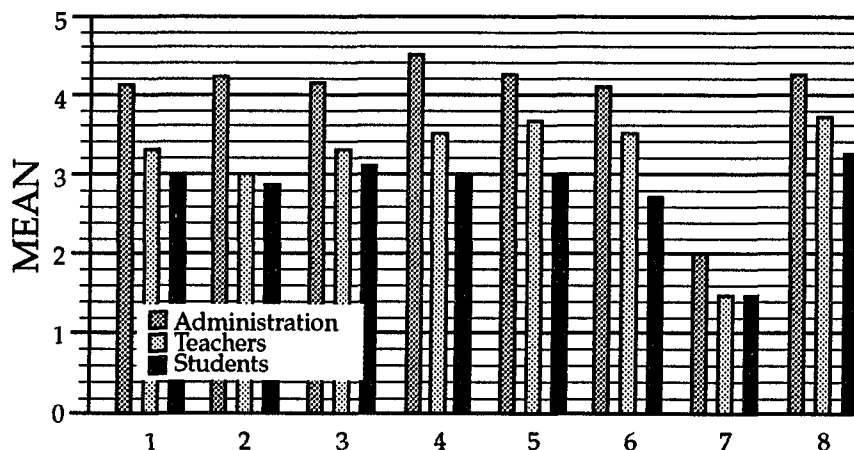


Figure 3.
COMPARISON OF SCCI MEAN — SCHOOL C

treatment, had the widest discrepancy, with a negative differential of 1.00 for teachers and 1.57 for students. In all cases students' ratings were the most discrepant, with 5 of the 8 cluster ratings having more than a 1.0 negative differential.

School B had a broad agreement among all groups, on all clusters. Seven of the 8 teachers' cluster ratings and 4 of the 8 students' cluster ratings were equal to or higher than that of the administration. It is interesting to note that the lowest student rating surfaced in Cluster 5, which rates the degree to which teaching methods take into consideration the needs of students. This reflects the researcher's observations that found, without exception, lecture as the method of instruction used throughout the school. The second lowest rating was Cluster 7, relating to positive public relations. Here again, this supports the researcher's concern that there is no PTA or parent advisory council. It is interesting to note that the highest teacher and student ratings were in the area related to the attractiveness and safety of the physical facility. Teachers and students rated this cluster with a positive differential of .75 above that of the administration. Of the three sites, School B is the oldest, least equipped physical plant.

In School C all teacher and student cluster ratings were below that of the administration. Clusters 2 (fair and equitable treatment) and 4 (rules support instructional goals) were the most negatively discrepant with teacher ratings of 1.21 and 1.0 and student ratings of 1.35 and 1.50 respectively.

Each principal had strong personal characteristics and had developed successful behaviors and strategies for vision articulation and implementation within his school's community. Each principal used these qualities to move his school forward.

Principal A

Principal A generated a clear vision of the successful high school through his strong commitment to leadership. He simultaneously articulated his vision through words and actions. He demonstrated enthusiastic commitment to quality instruction through actual classroom teaching, allocating financial and personal resources to assure appropriate materials and by making high quality inservice available to all. He constantly sought positive change through careful problem finding, data gathering and alternative analysis and implementation of quality options. He personally sought high quality teachers to fill vacancies. In return for teachers' commitments to the best instruction possible for students within their classrooms, Principal A assumed responsibility for maintaining an environment conducive to high quality instruction.

Principal A's pursuit of his vision was unrelenting. He was decisive, self-confident and was successful in incorporating his "big picture" view into the school through skillful use of his organizational abilities. Over the 12 years of his tenure he established a culture of high expectations for academic success. He praised little victories, believing that the difference between acceptable and exceptional was little things done better day by day. This was reflected in his concern for productive instructional time, quality lesson organization and professional presentation, up to date information for teachers and quality coordination of guidance and community services for students in crisis.

Teachers and students repeated the vision held for the school and defined their roles in attaining that vision. They expressed pride in school accomplishments though some expressed frustration with being constantly challenged to exceed previous accomplishments.

The cornerstone of Principal A's vision was a clear, constant focus on the instructional program. The curriculum development process of articulation, assessment and revision was an on-going reality. Increased academic learning time was an ever-present goal with the final evaluation of program effectiveness done in light of student achievement. Administrators monitored teachers to assure that they delivered the academically rich program through a variety of instructional strategies and that they used well the knowledge gained through inservice.

Principal A generated challenging, yet attainable expectations for faculty, students and himself. He expected teachers to do their best each day to challenge and motivate students. Principal A invested considerable energy in the evaluation process, making it an integral part of his global plan for instructional improvement. Students were expected to do their academic best. In order to encourage students to take the most challenging courses possible, Principal A required students and parents to hold individual registration conferences with the student's counselor. Previous test scores and career plans were used to determine the student's most beneficial course of study. Students participated in a variety of academic competitions to earn recognition and rewards. Academic success was given priority over athletic success, even though the principal stated that athletics was an important part of the school's image in the community. Students experiencing academic or personal problems were assisted through an active guidance department. Students who were at-risk of dropping out of school were targeted for special assistance by a drop-out prevention specialist and small (6-10) basic skills classes. The principal made it clear that he expected nothing from teachers and students that he was not willing and able to do

himself. Principal A sought to be a visible, highly effective, consistent leader. This was reflected in a clear code of conduct, consequences that were consistently used to encourage members of the school community to support commonly agreed upon values, his supervisory presence at all class changes and at lunch and his ability to confront issues as they arose rather than letting them fester into major problems.

Principal B

Principal B was confident about his clear vision of what he wanted his school to be. This vision was grounded in the effective schools literature. Principal B prodded to establish commitment, stirred enthusiasm, challenged current practices and reminded people of the need for positive change. He used inservice to instigate movement toward this change. He selected new faculty members who would “fit” into the school community and help bring about positive change from within. Students, an important part of school change, were included in the decision making process as much as the principal felt appropriate.

Principal B expressed high expectations for all within the educational community. He often reminded the faculty of the educability of all children and stated the over-riding expectation that all teachers should make every effort to assure that all students learn. He set personal expectations that he could establish a focused academic program through articulation of his vision of a school where achievement was the top priority.

One factor that supported articulation and implementation of Principal B’s vision was his strong commitment to establishing a positive climate within the school. The importance of individual students was stressed by everyday

warm interactions between the principal and students in the halls, on the grounds or in the cafeteria. The principal praised students for their accomplishments. The principal talked with students and encouraged them to be involved in the school's activities. The principal credited his positive interactions with students for the high rate of attendance. The principal used community pride in the school to focus positive attention and support on the school program and its needs. The relationship between Principal B and the faculty strengthened the positive climate documented by the SSRP nomination form and confirmed by the SCCI.

Principal B used the strong bond of community support to partially shelter the school from the bombardment of criticism so familiar to many schools today. Community members were in the school on a regular basis since the school's auditorium doubled as the community's cultural center. The principal fostered strong community support through a communication network ranging from newsletters to individually arranged parent conferences scheduled in the evenings at parents' convenience.

Principal C

Principal C articulated clear, detailed vision statements for his school. Though resources were obviously limited, he worked hard to maintain a high level of community interest which supported components of his vision.

He demonstrated good problem analysis and problem solving skills through an on-going use of projects, grants and special activities to secure needed computers, software, and other materials. For example, the ceilings of the spacious gym had been lowered, which in turn lowered heating fuel costs, through a conservation grant; vocational computers had been secured through a

variety of grant writing projects. He worked closely with teachers selected for special projects. Projects thus follow the principal's lead.

Principal C used the effective schools literature as the basis for charting the school's course for improvement. He used what he called a participatory style within the confines of principal-controlled groups. He consistently spoke of the importance of clear organizational goals focused upon a safe, orderly environment, student involvement, and open lines of communication. Several teachers who were interviewed made statements closely supporting his vision statements, only to restate their feelings differently when he left the area. Because this was the only high school within the county, employment concerns were very real in this situation. Double messages made analysis of Principal C's situation the most difficult of the three.

Principal C stated that he wanted students and teachers to re-think expectations. He talked with individual students, challenging them to challenge themselves through academic success and participation in extra curricular activities. One of his successful strategies for lowering the drop out rate was his emphasis on students being able to access a counselor easily, especially when expectations became burdensome or personal traumas gripped students' lives. He had invested resources in making the Guidance Office more accessible to students. He pressed teachers to review and revise curriculum offerings through a carefully articulated curriculum. Regular curriculum meetings were scheduled, deadlines set, results expected and delivered. He set expectations for himself to represent the interests of the students and the school. He made sure the facility was well maintained since it reflected the sense of pride and order he sought to establish and maintain.

Principal C was a master of public image enhancement. He was closely aligned with the community power structure and had the support of the business community. He consistently informs the community about the latest grant, award recipient, team competition or improvement in test scores. In spite of the fact that Principal C boasted a 38 point gain in SAT scores over the three year period preceding the SSRP nomination form, the three year average was 796 as compared to School A's 898 and School B's 819.

Principal C was an aggressive, driving leader intent upon building a culture reflecting excellence in spite of many teachers who seem content with their success. The principal exerted consistent pressure to nudge the status quo toward positive change without unraveling his base of support. Principal C openly repeated his vision, seemingly committed to making it reality through his public relations and front-stage behaviors. His iron will has brought high levels of general safety and respect, but has not yet brought academic excellence to fruition. Perhaps this part of his vision was still in the implementation stages.

Principals A, B, and C have been evaluated and found to have the characteristics, behaviors, and strategies of winners, but Principal A seemed to have the most favorable combination of these, resulting in a school that "hums" with the excitement of teaching and learning.

In order to summarize the strengths of the characteristics, behaviors, and strategies the sample principals used, each principal's behavior was analyzed concerning six areas supported by the literature, SSRP nomination form, SCCI, observations, and interviews. A one indicated that the item was not observed; a two reflected a minimal presence or use, a three represented a moderate presence or use, while a four indicated a strong presence or consistent use. A five

identified those characteristics, behaviors, or strategies used with outstanding success and consistency. Through this triangulation of data a clearer picture developed as to how each sample high school principal successfully articulated and implemented his vision of the effective high school. Tables 8, 9, and 10 show the researcher's analysis for each of the three principals and the sources of the information used to make that analysis (nomination form = N, observation = O, interview = I and climate inventory = C).

Table 8
RESEARCHER'S ANALYSIS OF PRINCIPAL A
Principal's Vision Study, NC, 1989-1990

CHARACTERISTIC, BEHAVIOR OR STRATEGY	ANALYSIS					DATA
	1	2	3	4	5	SOURCE
LEADERSHIP OF THE PRINCIPAL						
Clear vision for school and self				X		N,
Vision articulation				X		N,I,O
Resource allocation for vision attainment					X	I,O
Problem analysis skills				X		I,C
Research based framework for improvement		X				O
Demonstrates oral and written skills					X	O
Generates enthusiasm and commitment					X	O
Motivates others				X		O
Participatory style evident	X					I,O,C
Seeks positive change				X		O,C
Opportunities for student gov. responsibilities			X		I,C	
Organization structured allows input	X					I,O,C
Commitment to teacher efficacy		X				I,O,C
Philosophy seen through actions				X		I,O
Assumes role of instructional leader					X	I,O
Involved in classroom instruction					X	I,O
Carefully selects new faculty members					X	I
Leads through service and example				X		I,O
Emphasizes little things done better				X		O
Decisiveness					X	I,O
Personal confidence					X	O
Possesses good judgment				X		O
Culture Builder				X		I, O, C
Possesses Organizational Abilities				X		I, O
OVERALL RATING.....4.0						(table continues)

CHARACTERISTIC, BEHAVIOR OR STRATEGY	ANALYSIS					DATA
	1	2	3	4	5	SOURCE
HIGH EXPECTATIONS						
Evidence that faculty believes all can learn			X			I,O,C
Students are expected to do their best				X		N,I,O
Counseling services readily available to students			X			N,C
Effective drop out prevention in place				X		N,I,O
Teachers expected to do their professional best					X	I,C
Recognition/rewards given students for excellence					X	N,I
Recognition/rewards given teachers for excellence			X			N
Teacher Evaluation for instructional improvement					X	N,I,O
Principal holds high self expectations					X	I,O
OVERALL RATING.....						4.1
CLEAR INSTRUCTIONAL FOCUS						
Articulated curriculum					X	N,I,O
Systematic review/modification of curriculum					X	N,I
Academic Learning Time emphasized				X		N,I,O,C
Academically rich program options				X		N,I,O
Student achievement is the top priority				X		I,C
Goal of teachers is to prevent academic problems			X			O,C
Varied teaching Strategies used					X	N,I,C
Tracking de-emphasized		X				O
Clearly focused academic routine established					X	N
Staff Development reflects instructional needs				X		N,I
OVERALL RATING.....						4.1
SAFE, ORDERLY, ACCEPTING SCHOOL CLIMATE						
Fair and consistent discipline				X		N,I,C
Students receive personal supportive attention				X		I,O,C
Importance of individual stressed			X			N,O,C
Collaborative environment emphasized			X			I,O,C
Positive Climate				X		O,C
Sense of shared purpose is evident				X		I,O,C
High attendance rate					X	N,I,O
High student involvement				X		I,C
Facility is clean and attractive					X	O,C
OVERALL RATING.....						4.0
ON-GOING MONITORING OF STUDENT ACHIEVEMENT						
Assessment encourages instructional improvement				X		N,I
Improvement on objective tests documented			X			N
Student performance frequently monitored				X		I
Instruction evaluated by student performance			X			I,C
Search for improvement results driven					X	I,O
OVERALL RATING.....						3.8

(table continues)

CHARACTERISTIC, BEHAVIOR OR STRATEGY	ANALYSIS					DATA
	1	2	3	4	5	SOURCE
POSITIVE COMMUNITY RELATIONS						
Ethnic and racial pluralism			X			O,C
Parent/community involvement		X				I,C
Info. shared on consistent basis				X		N
Volunteer work evident		X				N,I
Active PTA or PTO	X					I
Parent conferences		X				I
Phone calls		X				I
School information publications			X			I,O
Student publications			X			O
OVERALL RATING.....						2.4

NOTE: N=Nomination form I=Interview O=Observation C=Climate Inventory

Table 9
RESEARCHER'S ANALYSIS OF PRINCIPAL B
Principal's Vision Study, NC, 1989-1990

CHARACTERISTIC, BEHAVIOR OR STRATEGY	ANALYSIS					DATA
	1	2	3	4	5	SOURCE
LEADERSHIP OF THE PRINCIPAL						
Clear vision for school and self				X		N, I, O
Vision articulation			X			I, O
Resource allocation for vision attainment				X		I, O
Problem analysis skills			X			O, C
Research based framework for improvement			X			I
Demonstrates oral and written skills				X		O
Generates enthusiasm and commitment				X		I
Motivates others			X			I
Participatory style evident			X			N, I, C
Seeks positive change				X		I, C
Opportunities for student gov. responsibilities				X		N, C
Organization structured allows input		X				I, O, C
Commitment to teacher efficacy		X				N, I, O, C
Philosophy seen through actions		X				I, O
Assumes role of instructional leader			X			I, O
Involved in classroom instruction	X					I, O
Carefully selects new faculty members				X		I
Leads through service and example			X			I
Emphasizes little things done better	X					I
Decisiveness		X				O
Personal confidence				X		O

(table continues)

Possesses good judgment	X	I, O
Culture Builder	X	O, C
Possesses Organizational Abilities	X	O
OVERALL RATING.....	3.0	
HIGH EXPECTATIONS		
Evidence that faculty believes all can learn	X	N, I, C
Students are expected to do their best	X	N, I
Counseling services readily available to students	X	N, I, O, C
Effective drop out prevention in place	X	I
Teachers expected to do their professional best	X	N, I, C
Recognition/rewards given students for excellence	X	N, I
Recognition/rewards given teachers for excellence	X	I
Teacher Evaluation for instructional improvement	X	O
Principal holds high self expectations	X	I, O
OVERALL RATING.....	3.6	
CLEAR INSTRUCTIONAL FOCUS		
Articulated curriculum	X	N, I
Systematic review/modification of curriculum	X	N, I
Academic Learning Time emphasized	X	N, I, C
Academically rich program options	X	N, I
Student achievement is the top priority	X	I, C
Goal of teachers is to prevent academic problems	X	N, C
Varied teaching Strategies used	X	N, I, O, C
Tracking de-emphasized	X	I, O
Clearly focused academic routine established	X	O
Staff Development reflects instructional needs	X	N, I
OVERALL RATING.....	3.2	
SAFE, ORDERLY, ACCEPTING SCHOOL CLIMATE		
Fair and consistent discipline	X	I, O, C
Students receive personal supportive attention	X	I, C
Importance of individual stressed	X	N, I, C
Collaborative environment emphasized	X	I, O, C
Positive Climate	X	I, C
Sense of shared purpose is evident	X	N, O, C
High attendance rate	X	N, I, O
High student involvement	X	I, C
Facility is clean and attractive	X	O, C
OVERALL RATING.....	4.2	
ON-GOING MONITORING OF STUDENT ACHIEVEMENT		
Assessment encourages instructional improvement	X	O
Improvement on objective tests documented	X	I, O
Student performance frequently monitored	X	I, O

(table continues)

Instruction evaluated by student performance		X		I,C
Search for improvement results driven		X		I,O
OVERALL RATING.....				3.0
POSITIVE COMMUNITY RELATIONS				
Ethnic and racial pluralism		X		O,C
Parent/community involvement			X	I,C
Info. shared on consistent basis			X	N,I,O
Volunteer work evident		X		I,O
Active PTA or PTO	X			I
Parent conferences			X	I,O
Phone calls		X		I
School information publications			X	I,O
Student publications		X		I
OVERALL RATING.....				3.2

NOTE: N=Nomination form I=Interview O=Observation C=Climate Inventory

Table 10
RESEARCHER'S ANALYSIS OF PRINCIPAL C
Principal's Vision Study, NC, 1989-1990

CHARACTERISTIC, BEHAVIOR OR STRATEGY	ANALYSIS					DATA SOURCE
	1	2	3	4	5	
LEADERSHIP OF THE PRINCIPAL						
Clear vision for school and self				X		N,I
Vision articulation			X			I
Resource allocation for vision attainment			X			I,O
Problem analysis skills			X			I,O,C
Research based framework for improvement			X			I,O
Demonstrates oral and written skills			X			O
Generates enthusiasm and commitment			X			I,O
Motivates others			X			I,O
Participatory style evident			X			N,I,O,C
Seeks positive change			X			I,O,C
Opportunities for student gov. responsibilities	X					I,O,C
Organization structured allows input	X					I,O,C
Commitment to teacher efficacy			X			O,C
Philosophy seen through actions	X					O
Assumes role of instructional leader			X			I,O
Involved in classroom instruction	X					O
Carefully selects new faculty members			X			I
Leads through service and example	X					O
Emphasizes little things done better	X					O

(table continues)

Decisiveness	X		I,O
Personal confidence		X	I,O
Possesses good judgment	X		O
Culture Builder	X		O,C
Possesses Organizational Abilities	X		I,O
OVERALL RATING.....			3.3

HIGH EXPECTATIONS

Evidence that faculty believes all can learn	X		I,C
Students are expected to do their best	X		I
Counseling services readily available to students		X	I,O,C
Effective drop out prevention in place	X		N
Teachers expected to do their professional best	X		I,O,C
Recognition/rewards given students for excellence		X	N,I
Recognition/rewards given teachers for excellence	X		N,I,O
Teacher Evaluation for instructional improvement	X		I
Principal holds high self expectations		X	I,O
OVERALL RATING.....			3.4

CLEAR INSTRUCTIONAL FOCUS

Articulated curriculum		X	N,I,O
Systematic review/modification of curriculum		X	N,I,O
Academic Learning Time emphasized	X		O,C
Academically rich program options	X		O
Student achievement is the top priority	X		O,C
Goal of teachers is to prevent academic problems	X		I,C
Varied teaching Strategies used	X		I,O,C
Tracking de-emphasized	X		O
Clearly focused academic routine established	X		O
Staff Development reflects instructional needs	X		I
OVERALL RATING.....			2.9

SAFE, ORDERLY, ACCEPTING SCHOOL CLIMATE

Fair and consistent discipline		X	I,O,C
Students receive personal supportive attention		X	I,C
Importance of individual stressed	X		I,C
Collaborative environment emphasized	X		I,O,C
Positive Climate	X		N,C
Sense of shared purpose is evident	X		I,C
High attendance rate		X	N,I
High student involvement			X
Facility is clean and attractive		X	O,C
OVERALL RATING.....			3.8

ON-GOING MONITORING OF STUDENT ACHIEVEMENT

Assessment encourages instructional improvement	X		I,O
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(table continues)

Improvement on objective tests documented	X	O
Student performance frequently monitored	X	O
Instruction evaluated by student performance	X	O,C
Search for improvement results driven	X	I,O
OVERALL RATING.....		3.4
POSITIVE COMMUNITY RELATIONS		
Ethnic and racial pluralism	X	O,C
Parent/community involvement	X	N,C
Info. shared on consistent basis	X	I
Volunteer work evident	X	I,O
Active PTA or PTO	X	I
Parent conferences	X	I
Phone calls	X	N,O
School information publications	X	I
Student publications	X	I
OVERALL RATING.....		2.4

NOTE: N=Nomination form I=Interview O=Observation C=Climate Inventory

QUESTION 4: WHAT ARE THE COMMONALITIES AMONG THE CHARACTERISTICS, BEHAVIORS AND STRATEGIES USED BY THE SAMPLE PRINCIPALS?

In pinpointing the commonalities among the characteristics, behaviors, and strategies used by the sample principals, the researcher’s ratings of each principal were compared with those of the other sample principals on subset items. The results often clustered, yet each of the three principals had specific strengths, or favorite strategies for success, that were effective within the context of their school. Commonalities can be gleaned from Table 11.

Table 12 compares the by cluster mean researcher's effectiveness rating of each principal concerning the articulation and implementation of their visions in their high schools. In discussing their visions all stated their dedication to the effective schools correlates as a framework for their visions. Therefore, this rating comparison reflects the principals' degree of success, as perceived by the researcher, in implementing their articulated visions.

Table 11
 COMPARISON OF RESEARCHER'S ANALYSES
 PRINCIPALS A, B, AND C
 Principal's Vision Study, NC, 1989-1990

CHARACTERISTIC, BEHAVIOR, STRATEGY	ANALYSIS				
	1	2	3	4	5
LEADERSHIP OF THE PRINCIPAL					
Clear vision for school and self				ABC	
Vision articulation		BC	A		
Resource allocation for vision attainment			BC	A	
Problem analysis skills		B	AC		
Research based framework for improvement		AB	C		
Demonstrates oral and written skills			BC	A	
Generates enthusiasm and commitment			BC	A	
Motivates others			BC	A	
Participatory style evident	A	B	C		
Seeks positive change				ABC	
Opportunities for student responsibilities	C	A	B		
Organization structured allows input	ABC				
Commitment to teacher efficacy	B	AC			
Philosophy seen through actions	BC		A		
Assumes role of instructional leader			BC		A
Involved in classroom instruction	BC				A
Carefully selects new faculty members			C	B	A
Leads through service and example		C	B	A	
Emphasizes little things done better	B	C		A	
Decisiveness		B		C	A
Personal confidence				B	AC
Possesses good judgment			B	AC	
Culture Builder			B	AC	
Possesses Organizational Abilities			B	AC	
HIGH EXPECTATIONS					
Evidence that faculty believe all can learn			AC	B	
Students are expected to do their best			C	AB	
Counseling services readily available to students			A	B	C

(table continues)

CHARACTERISTIC, BEHAVIOR, STRATEGY	1	ANALYSIS				
		2	3	4	5	
Effective drop out prevention in place			BC	A		
Teachers expected to do their professional best			C	B	A	
Recognition/rewards given students for excellence			B	C	A	
Recognition/rewards given teachers for excellence			ABC			
Teacher Evaluation for instructional improvement			BC		A	
Principal holds high self expectations				BC	A	
CLEAR INSTRUCTIONAL FOCUS						
Articulated curriculum				BC	A	
Systematic review/modification of curriculum			B	C	A	
Academic Learning Time emphasized			BC	A		
Academically rich program options			BC	A		
Student achievement=top priority			C	AB		
Goal of tea.=prevent acad.problems		C	AB			
Varied tea. Strategies used			BC		A	
Tracking de-emphasized		ABC				
Clearly focused acad.routine estab.			C	B	A	
Staff Develop.reflects instr. needs		C	B	A		
SAFE, ORDERLY AND ACCEPTING SCHOOL CLIMATE						
Fair and consistent discipline				ABC		
St.rec.personal supportive attention				ABC		
Importance of individual stressed			AC	B		
Collaborative environment emphasized			ABC			
Positive Climate			C	AB		
Sense of shared purpose is evident			C	AB		
High attendance rate				C	AB	
High student involvement				A	BC	
Facility is clean and attractive					ABC	
ON-GOING MONITORING OF STUDENT ACHIEVEMENT						
Assessment encourages instr. improve.			B	AC		
Improvement on obj. tests documented			ABC			
St. performance frequently monitored			BC	A		
St. Perform.= eval. of instr.approp.			ABC			
Search for improvement results driven			B	C	A	

(table continues)

CHARACTERISTIC, BEHAVIOR, STRATEGY	ANALYSIS				
	1	2	3	4	5
POSITIVE RELATIONSHIP W/PARENTS & COMMUNITY					
Ethnic and racial pluralism			ABC		
Parent/community involvement		AC		B	
Info. shared on consistent basis			C	AB	
Volunteer work evident		ABC			
Active PTA or PTO	AB	C			
Parent conferences		AC			B
Phone calls		AC	B		
School information publications			AC	B	
Student publications			ABC		

Table 12
 COMPARISON OF PRINCIPALS' MEAN EFFECTIVENESS
 BY CLUSTER, BY SCHOOL
 Principal's Vision Study, NC, 1989-1990

CHARACTERISTIC, BEHAVIOR, STRATEGY	SCHOOL		
	A	B	C
Leadership of the principal	4.0	3.0	3.3
High expectations	4.1	3.6	3.4
Clear instructional focus	4.1	3.2	2.9
Safe, orderly climate	4.0	4.2	3.8
On-going monitoring of student achieve.	3.8	3.0	3.4
Positive relationship with community	2.4	3.2	2.4

QUESTION 5: WHAT SPECIFIC CHARACTERISTICS, BEHAVIORS, AND STRATEGIES CAN BE RECOMMENDED TO PRINCIPALS FOR USE IN IMPLEMENTING THEIR VISIONS OF THE EFFECTIVE HIGH SCHOOL?

There was a high degree of commonality among the expressed beliefs of the three sample principals as to the characteristics, behaviors, and strategies that allowed them to actualize their visions of the effective high school. The reality of excellence seemed to exist where these expressed beliefs have been put into action on a daily basis, doing things just a little better.

In discussions with each of the principals there was always the understanding that perfection had not been attained, but that this really did not seem to matter. It was as though the honest struggle to achieve, experienced by a critical number of school community members, sparked the human potential to push the entire community forward. It appeared that moving mountains is indeed difficult, but ultimately satisfying, work!

The data from Chapter 4 is synthesized in Chapter 5 to bring closure to this question.

Summary

Each principal possessed and used the concept of vision when discussing his school. Principal A stated that his vision centered upon a school that represents "...quality and care for all" reflected in the school motto, "Dare to excell." While his vision statements were initially rather general, he was more articulate and could more easily define and discuss the components of his vision in his own words than Principal B or C. He challenged teachers, students, as well as himself to "...be the best that they can be." He stated with an air of confidence that his vision of a quality and caring school was being achieved because the school meets the needs and interests of students through a variety of programs. Teachers, students, and other members of the administrative team verbalized the vision themes compatible with that of their principal. The Home Economics teacher, who served as the director of the school's in-house day care facility, expressed the school's mission as being one of service to the community and its students. The child care program made high school attendance possible for a number of students, while giving others valuable job skills in an excellent day care environment. The commitment to quality expressed in this program

was also reflected by the vocational teacher who ran the graphics program through hands-on experiences in the print shop. Students interviewed expressed pride in their program and confidence in their abilities to find jobs and be successful in the printing industry as a result of their high quality experiences within the school setting. Several teachers expressed a feeling of "high expectations", "pressure", and being "pushed" to assure academic success for their students. When visiting classrooms, the researcher was impressed by a predominant business-like atmosphere reflected in student attentiveness and teacher preparation of a variety of instructional activities. One factor permitting this school to be more responsive to student needs is the availability of an alternative school. Students with attendance or discipline problems are transferred to the alternative school by the principal. At a district-level, executive round-table meeting, which the researcher attended, reports containing attendance and drop out figures for the alternative school were shared. While the 1989-1990 attendance rate of School A was 93.5%, that of the alternative school was 59.9%. The same document showed 11 (.9%) drop outs for School A, while the alternative school reported 69 (46.4%) in their regular program and 10 (25%) from their Extended Day School evening program. Members of the guidance staff emphasized the importance of meeting students' individual needs and sharing the decision making process with parents, and in turn seeking solid support from parents in helping students succeed. Registration is done in individual conferences, with parents encouraged to take part. Students are expected to take the most challenging courses possible.

Principals B and C consistently used the terms and phraseology of the effective schools movement when discussing their visions. Principal B defined

his vision as creating a school that provides "...a warm, caring place for students that is humanistic and student centered." When asked for specifics, he stressed the importance of the individual, the need for high expectations and his reliance upon the effective schools literature as a focus of his vision. Teachers expressed appreciation for support from both the principal and the community. Merger was mentioned by two of the teachers interviewed. Both expressed satisfaction in teaching in a good school with an effective principal and a supportive community. One teacher, who had a child in school in a nearby district expressed mixed feelings because she liked teaching in School B, but felt her child would benefit from merger. When pressed for their views on the vision of the principal, statements were general, with a lack of understanding of the term. One teacher said, "He is always talking about how to improve our classes, but he doesn't bother us as long as we teach and keep our students under control. I like that about him." A parent who was working in the school as a substitute said that she liked substituting in the school because the students were usually well behaved and the principal was very supportive.

Principal C responded to the vision question by stating that he wanted "...the school to be all that it could be..." with a focus upon "...excellence in all areas." When asked to elaborate, he listed:

...a positive climate, clear organizational goals and structure, a high rate of student involvement, communication among all involved, contributions by the school to the community, continual assessment and involvement of parents and community.

Later in the interview he stated that the principal's vision needed to "...be realistic for the students. This isn't Chapel Hill, where students are from high

socio-economic areas." He pointed out that on a yearly average 6-10% of his students were identified as EMH. The principal traced his vision for his school to the fact that five years before only 20% of the school's graduates had plans for education beyond high school graduation. He saw students with

...no plans, taking easy courses, graduating into low paying jobs because they had no skills. They usually married, had children and discovered at about age 28 they needed skills if they were ever going to get a decent job.

The school's Tech-Prep program was developed around the idea that future jobs more consistently demand high technology, advanced communication skills and service oriented people skills. In listening to the principal talk to teachers, students and the media about his school and its vision for its students, it became apparent this principal was committed to telling, and re-telling the vision he has for his school. The vision may not have been realized, but he quite forcefully expresses the components of his vision and expresses the belief that all who teach there also support and promote that vision. One of the classified employees interviewed described the principal as "...a wheeler-dealer who keeps everything running." Several teachers expressed frustration when asked to interpret the principal's vision for the school. A math teacher expressed concern that "...the emphasis is on keeping the kids in school at all costs. Meeting students' needs is usually interpreted as 'pass them'." Another teacher expressed the concern that the principal's vision "...was of a political nature. It is more important to look good than to improve." Principal C took great pride in pointing out the consistent, supportive counseling services that are provided students. He attributed the lower drop out rate to the availability of this service coupled with the school's Tech Prep, tutoring, and extended day programs.

Inservice activities were seen as one of the major complimentary vehicles for the improvement of instruction for student success, as well as teacher motivation.

All three principals expressed the beliefs that their continuing successes evolved from a number of consistent realities that existed in their schools that were components of their visions. Each principal stated that he felt the on-going acknowledgment of the importance of the individuals within the school community, coupled with high expectations for student success were important factors in setting and meeting realistic goals for all members of his school.

All three principals credited the broad based community they enjoyed as the superstructure of their success in attaining their visions. All three principals focused their community involvement on communication of school information to the community as opposed to soliciting volunteers, encouraging PTA or cultivating high levels of community involvement at the school. Each principal felt his school had a positive school climate. It must be noted that in schools A and C the SCCI reflected negative agreement by teachers and students when compared with the views of the administration related to school climate. In school B the teachers usually rated the climate more positively than either the students or the administration.

All three principals have established a clear instructional focus as one of the school's primary goals. School A had more identifiable signs of this focus in action. In this school the principal had taken the lead in establishing a carefully articulated, and periodically reviewed curriculum, encouraged a variety of instructional strategies and expressed a desire to set the stage for an academic focus to be the established routine and not the exception for the above average student. More program options were available in this school and the emphasis

was on academic learning time being protected and valued. Principals B and C did emphasize these factors, but these were not consistently observed nor mentioned in interviews with students and teachers. Tracking was a major emphasis for all three sites.

All three principals emphasized the need for a safe, orderly and accepting school community. All three schools were immaculate, regardless of the age of the buildings. Discipline was said to be fair and consistent within a supportive environment that encouraged students to attend regularly and be involved in extra-curricular activities.

When asked how they articulated their visions to the members of the school community, there was major agreement among the strategies discussed by the three principals. All principals placed strong emphasis upon clearly defined expectations for teachers, students and themselves. These principals stated specifically that they expected teachers to be committed to the belief that all students can learn, and therefore, accept the professional challenge of teaching all students. They stated that this required on-going assessment of student performance, curriculum, instructional strategies and professional skills. Principal A focused communications with teachers and the members of his administrative team on the availability of academically challenging opportunities for students, effective teaching methods, current, relevant curricular offerings, and a safe, supportive environment. He talked about academic success, displayed academic trophies and awards, provided an organizational structure for curriculum review and revision, provided inservice to confront problems and needs. Principal B repeatedly emphasized the importance of expectations. He said that he believed "...expectations are the most important aspect of leading

teachers to improve themselves, and thus improve instruction for students.”

Principal C stated that expectations were vital to the success of his school since “...54% of the parents [of the current student population] were high school drop outs. The average citizen in...[the county]... has 8.3 years of schooling.” He believed that the school must be supportive and hold the expectation that each student can graduate. Each teacher was expected to meet the challenge of making graduation a reality for each student. Expectations have brought significant changes in key indicators in School C. During the first year of the Tech Prep program, SAT scores rose by 24 points, followed by an additional 21 point gain for the second year. During the same period of time the percentage of students attending two and four year colleges increased from 48% to 73%. The number of students taking Algebra I increased from 352 to 502 students over the same two year period, while the core score on the North Carolina End of Course Test also increased from 53.6% to 59.8% for that group of students.

All three principals emphasized the importance of students meeting the challenging expectations of their teachers and administrators. The principal emphasized the importance of students developing and achieving realistic expectations. These expectations translated into daily student goals of being in school regularly, being well behaved and prepared. The short term goal was for students to do their best each day, and take advantage of academically challenging courses. Principal A was emphatic about students not being allowed to take easier courses than their ability and performance dictated. When counseling students he used questioning techniques that demanded students be fair with themselves and accept responsibility for their own actions and decisions. A wide variety of challenging activities were provided and students

were expected to take advantage of those that were appropriate for them. Principal B expected students and teachers to choose courses that were appropriate for them and to do their best. There was less emphasis upon accountability by Principal B than in the other schools. Principal C made frequent references to athletic discipline and often coupled it with the expectation of academic discipline. Both positive and negative consequences followed student actions. Principal C, in cooperation with the faculty, had designed a weighting system which encouraged students to take higher level courses.

These principals also expressed expectations for their own personal and professional behavior. They were first and foremost culture builders, setting the stage for risk taking change through their own personal self-confidence and good judgment. They defined their evaluation responsibilities in the context of instructional improvement and felt it was their responsibility to provide inservice activities that originated from needs defined by those within their schools. They emphasized the importance of investing a significant amount of time in hiring new staff members to assure careful selection of the best possible person in light of the culture of the school. All three cited examples of teacher improvement or dismissal that brought their commitment for high quality instruction into focus. Principal A was working with a new teacher that was "...not providing the challenge that her students need." Videos of lessons were being done, with the principal and assistant principals working with the teacher to critique the lessons. The principal and assistant principal offered support for improvement. The principal made it very clear that any teacher not meeting the expectations of the school community would be dismissed if improvement was

not made. All three principals stated their commitment to acquiring a broad research base to serve as the framework for on-going school improvement, problem analysis, problem solving, organization and communication skills to bring positive change for school improvement. All had attended the Principals' Institute and referred to information and ideas gained there. These principals were committed to supporting teachers, being the instructional leaders of their schools, and motivating others by generating enthusiasm and commitment for the visions of their schools. All administrative staff members shared responsibilities, but each had been assigned specific areas to coordinate.

All three principals expressed a desire to motivate teachers toward positive change, though the strategies of each differed greatly. Principal A used a structured, "top down" organizational pattern, high expectations for student achievement and teacher professionalism to set the tone. There was an air of consistent pursuit of excellence and challenge. Principal B described his motivational strategy, as "I wind them [teachers] up and let them go. When they seem to be running down, I wind them up again." This relaxed attitude was reflected in a lack of consistent follow through. Assessment of teachers' learning, teaching, and leadership styles was done during several principal initiated inservice meetings. No formal follow-up was done. The principal felt that individual teachers would interpret where they were and change as needed. According to the SSRP nomination form, the PSAT data from the previous year were to have been disaggregated for curricular improvement. The data had been received, but the information had not been shared or used by any group for any purpose. The principal had made a commitment to have regular staff meetings for on-going inservice and informational updates targeting the effective schools

research; these usually did not take place. In reality, staff meetings were called "...when we have to have them." Principal C felt teacher motivation was enhanced through social gatherings such as coffees and breakfasts as well as through shared decision making. For this shared decision making he used a variety of participation patterns. The most powerful formal governance body in this school was the Full Administrative Leadership Committee which votes on all major policy or curricular changes. Department chairs were a more select group appointed to formally coordinate new course development, curriculum review, revision, funding allocations and information dissemination. Selected teachers had significant influence upon the program as they were given available extended employment opportunities. Jobs were carefully defined and the principal was highly visibly, visiting classrooms informally on an almost daily basis.

While all three principals invested resources of time, money and energy in achieving their visions, Principal A was consistently more organized and focused in this allocation. For example, he financed reference textbooks for AP History classes from his discretionary funds; he also invested his time and energy in teaching the class from time to time. Requests supporting academically challenging activities were repeatedly given priority regarding inservice money allocation. This school, under his leadership, organized, financially backed and hosted a Scholastic Summit. This event was patterned after an event in Florida that had been too expensive for broad participation by academically capable students. These two day summits included Odyssey of the Mind and Future Problem Solving activities. Teachers and administrators worked together to provide this event for their students. This annual event

attracted academic teams from across the southeast. Academic achievement was given validity through the public display of academic trophies, plaques and medals beside those earned in athletic competition.

Principal B emphasized the effective schools research in justifying the use of school resources. Most of the inservice was designed by the principal in collaboration with a small number of "inner circle" teachers and the superintendent. Local businesses supported several organized pleas for help. The school's auditorium was the cultural center of the community and the community air conditioned and renovated this facility. The business community sponsored the Ethical Decision Making in the Workplace for High School Students Program (1988) with the objectives to:

...provide students with definitions of values, ethics, business ethics, develop an understanding of how values and ethics are acquired, give students an opportunity to examine the role of ethics in the decision making process, and provide students with the opportunity to explore the application of ethical values to career fields and jobs. (p. ii)

The Ethical Decision Making in the Workplace for High School Students Program was provided to Seniors during a one day session held at a local convention center. In a time of tight money the community had also approved a bond issue to add a new media center, office complex, additional Physical Education facilities, and several classrooms. Merger was a familiar topic of discussion and every effort was made to use resources to their best advantage for the most positive visibility.

Principal C stated that funding in his district had consistently been very tight and he usually provided inservice money and extra equipment, especially computers, through various grants. This school was a ty-In site, yet consistent use of this inservice tool could not be documented, a disproportionate amount of

funding was raised through athletics; none of these funds benefited the academic programs of the schools. The principal stated that the school enjoyed overwhelming community support of its athletic teams and expected between six and nine thousand fans for each home game. By the end of November, he estimated the school had made a "...\$110,000 profit on the gate so far [that] year." When asked about how this money would be spent, he pointed out that "When the players win a state championship, each of the 70 team members receives a championship ring, jacket, and plaque, as well as being the guests at a nice banquet." He estimated the cost of these items at approximately \$14,000. The principal had a very positive relationship with the members of the business community as well as the local community college. Those relationships formed the backbone of local support, and therefore, funding at a consistent, though low, level. A considerable amount of time and energy was invested in presenting a positive image of success and academic pursuit, though athletics was never far from the discussion. Some limited funding was available for extended work in the summer; these funds were allocated to a select group of teachers who had a principal's confidence.

The data from all sources pointed to the facts that each principal had a vision for his school, had specific ideas about how to accomplish that vision, and was pursuing that goal with commitment.

CHAPTER 5

SUMMARY, DISCUSSION AND CONCLUSIONS, AND QUESTIONS FOR FURTHER STUDY

Introduction

As the economy falters, drug use becomes frighteningly common, the crime rate soars, and the Middle East brings the reality of war to this generation of Americans, the people turn to their schools for deliverance. The public simultaneously points the accusing finger of blame, while beckoning for assistance. In these troubled times, the principal of today's high school must be able to lead with authority, tell the good news, and truly be the "keeper of the vision". With the diversity of a high school faculty, the principal must be able to construct a vision of what successful implementation of specific, valued goals and objectives would look like. This mental image of the best possible future for the school community must be articulated in detail and implemented if it is to be of any value beyond the mental gymnastics of having created it.

This study sought to identify those characteristics, behaviors, and strategies used by principals in actualization of their visions of the effective high school. The quasi-experimental, ex-post facto study included three case studies targeting how three principals actualized their visions, rather than dwelling upon what those visions actually were. The study addressed five research questions.

1. What are the effective schools research findings concerning articulation and implementation of the high school principal's vision?
2. What are the major components of the sample effective high school principals' visions?
3. What characteristics, behaviors, and strategies have been used by the sample principals to articulate and implement their visions of the effective high school?
4. What are the commonalities among the characteristics, behaviors, and strategies used by the sample principals?
5. What specific characteristics, behaviors, and strategies can be recommended to principals for use in implementing their visions of the effective high school?

In Chapter 5 the researcher addresses each research question. Questions 1 through 4 provide a summary of the data from the study. Question 5 focuses on the researcher's recommendations to principals for actualizing their visions of an effective high school. A discussion of the conclusions drawn from the study and their implications for principals follows the research questions. Chapter 5 ends with a discussion of further research questions to be pursued.

Summary of Findings

Question 1: WHAT ARE THE EFFECTIVE SCHOOLS RESEARCH FINDINGS CONCERNING ARTICULATION AND IMPLEMENTATION OF THE HIGH SCHOOL PRINCIPAL'S VISION?

The review of the literature concerning the articulation and implementation of the high school principal's vision led the researcher to a number of common findings. The principal of an effective high school is the acknowledged

culture builder (Peters & Austin, 1985; Willower, 1984). Her vision for positive change is understood, valued, and pursued in a collaborative, supportive environment grounded in a trusting relationship nurtured by the principal (Russell, Mazzarella, White, & Maurer, 1985). The vision is clearly articulated, not only through the principal's words, but through her actions, and focused attention (Bennis & Nanus, 1985; Blumburg & Greenfield, 1980; Hager, 1983; Sweeney, 1982 & 1989). This vision must flow from a research base (Clark, Lotto & Astuto, 1984; Lezotte, 1985; Purkey & Smith, 1982;).

Vision implementation is possible when the principal is a skilled problem solver (NASSP, 1986) who takes the time to be sure she is dedicating her energy focus to the right problem (Peterson, 1986). She is an expert at shared decision making and problem solving within the context of a team approach (Huff, Lake & Schallman, 1982). The principal has excellent communication and organizational skills, good judgement, and is able to motivate others.

The visionary high school principal sets high expectations for success for herself and others to attain the articulated vision. All persons are expected to do their best to improve themselves and others within the school community. This consistent air of high, professional expectations influences other areas, such as the consistent push for academic excellence (Pursell & Cookson, 1982; Russell, Mazzarella, White, & Maurer, 1985). Over a period of time the school slowly moves forward.

The literature reports success in implementing the principal's vision when the principal works with the faculty to establish a supportive, well disciplined, climate in which students and teachers feel important as individuals. Students and teachers are fairly treated and appreciated for their contributions to

the school community (Corcoran & Wilson, 1986; Wayson, 1988). The principal is visible, and personally involved in undergirding a climate that supports implementation of the vision. The principal uses all the resources at her disposal to implement the components of her vision. She is a participant in symbolically important events and celebrations (Peters & Austin, 1985).

Question 2: WHAT ARE THE MAJOR COMPONENTS OF THE VISIONS OF THE EFFECTIVE HIGH SCHOOL PRINCIPALS IN THIS SAMPLE?

In evaluating this question it was necessary to go beyond what principals said they believed to what was perceived by the researcher. In all three cases the principal had a major role in the development of the Secondary Schools Recognition Program (SSRP) nomination form; therefore, the nomination form, to a great extent, presents the verbalized beliefs of each principal. These statements were either strengthened or diminished through elaboration during the on-site interviews and observations.

Principal A's vision of the effective high school was clearly articulated. He relentlessly struggled to bring his school in focus with this vision. He saw his school community in pursuit of excellence. Excellence was delivered through a comprehensive program that allowed the school to meet the individual needs of students.

The over-riding theme of Principal A's vision was high expectations for students, teachers, and himself. These expectations touched every aspect of the school. Students were expected to be well disciplined, with academic excellence as their goals. Teachers were expected to act professionally, as they carried out the school's theme of academic excellence. The principal held himself accountable for the success of students and teachers within his school. This expectation

was reflected in his constant effort to provide a wide array of high quality instructional and extra-curricular options for students. He provided teachers with inservice opportunities and expected them to use new information and strategies to constantly upgrade and bring positive change through dedicated, professional action. His vision included frequent monitoring of student performance coupled with actions based upon the results. The organizational structure of the school emphasized the importance of small groups working through the coordination of the principal to assure that the many diverse interests were networked for the common good.

Principal A's vision of the effective high school projected a school with visible leadership. In his visionary school all were motivated and were actively engaged in the learning process. The school gladly communicated the good news of success, balanced with the challenge of continued improvement, and positive change, to their community.

Principal B's articulated vision of the effective high school mirrored the effective schools correlates. He articulated a global vision, but had difficulty in painting details. He visualized a school community that was warm, caring and humanistic.

The over-riding focus of Principal B's vision was to develop a school where information was shared and slowly assimilated. This would bring about gradual positive progress toward the philosophy that all students can learn.

Principal B pursued a vision of a high school in which high expectations, good discipline, open communication, positive school/community relations, visible leadership, and a broad spectrum of student participation would be realities. The organizational structure of the envisioned high school would

support informal, free-flowing groups brought together to pursue common interests. The principal of this effective high school would monitor the activities of these groups to assure a united focus on vision attainment through implementation of the effective school correlates.

Principal C's vision of the effective high school was clearly articulated as implementation of the effective schools correlates. His vision focused on raising the educational and economic standards of the community.

One major component of Principal C's vision was attaining the Greek ideal of excellence in body, mind, and spirit. This translated into students reaching out and being assisted in becoming all they could be. High expectations challenged students, teachers, community, and administration. Students were expected to be well disciplined, take academically challenging courses, be involved in extra-curricular activities, and pursue specific goals. Teachers were expected to act professionally, carrying out the school's goals of increased college participation, and after graduation employability. The community was challenged to support the school in its efforts. The principal of this school was expected to be a visible leader, motivating both students and teachers to pursue the vision of the effective school.

Another component of Principal C's vision was the development of good citizenship. This translated into good discipline, an improved climate, and students committed to contributing to their community. This in turn encouraged community support.

Principal C saw a strong organizational structure as a necessary component of his vision. This allowed coordination of input from the entire staff in their push for positive change.

QUESTION 3: WHAT CHARACTERISTICS, BEHAVIORS, AND STRATEGIES HAVE BEEN USED BY THE SAMPLE PRINCIPALS TO ARTICULATE AND IMPLEMENT THEIR VISIONS OF THE EFFECTIVE HIGH SCHOOL?

Each principal had a repertoire of behaviors and strategies complimented by a range of personal characteristics that they used to implement their visions of the effective high school. All were successful in the situations in which they led. It is doubtful that the aggressive, high standards, and intensive push of Principal A would have been successful in School C. Conversely, the relaxed Principal B would have had difficulty dealing with the high expectations and demanding role of principal A.

Principal A pursued his vision of academic excellence by emphasizing those factors that fostered excellence. High expectations were the backbone of Principal A's vision. Verbalizing, maintaining, rewarding, and reinforcing these expectations brought the vision to life. Academic Learning Time was prized; because student achievement was a top priority, the process of curriculum articulation, student assessment, and curriculum revision was a routine cycle. Resources were focused upon instructional improvement through inservice reflecting instructional needs. Materials, justified as supportive of the instructional program, were secured. Energy and commitment were very real resources brought to bear on the drive for academic excellence. A wide variety of program options incorporating diverse instructional strategies was supported in order to meet individual student needs. Guidance services, including a drop out prevention specialist, were readily available. Students also received personal attention from teachers through routine after-school office hours. The principal invested

personal energies and commitment in order to articulate his vision through words and actions. The well disciplined, productive climate was maintained through decisive, fair, and consistent follow-through concerning agreed upon rules and consequences. Students were encouraged by all significant others to be involved, be in attendance, and most importantly, to do their best each day.

Principal A held himself personally and professionally responsible for the success of the school community in meeting its goals. He accepted the responsibility for failures or short-comings, while generously giving credit for success to other members of the faculty and the community. He was a life-long learner who sought new knowledge and ideas to constantly revitalize the school through positive change. While he did not quote and display his knowledge of the effective schools literature as readily as the other sample principals, he demonstrated the ability to understand and interpret that research as it was applicable to his vision of the effective high school. He developed his personal and professional skills in the areas of oral and written communication, problem finding, and problem solving. He played to his strengths. He had developed the confidence and dedication to confront hard issues, acknowledge and attack problems, and initiate positive change as a part of his on-going plan to increase student performance. His search for improvement was results driven. He sought to improve instruction through effective use of the teacher evaluation process. He also used vacancies as a method of bringing challenging ideas and new techniques to the school. His professional respect for students and teachers was mirrored in the sparkling facility, his interactions with all, and his personal demeanor.

In order to be the visible instructional leader he envisioned, Principal A

sought to lead through service and example. He taught classes, discussed instruction, rewarded teachers' efforts through professional and personal recognition, and allocated resources for attaining academic excellence.

During his 12 years at school A, this principal's enthusiasm and commitment succeeded in building a culture in which all were challenged to "walk the talk" of excellence. The positive climate and shared purpose of helping students to achieve for academic excellence could be felt in the halls, the guidance office, classrooms, and when talking to faculty members. Those who were not willing to expend the energy necessary to meet the challenge were in an uncomfortable minority.

Principal B's vision paralleled the effective schools correlates. He sought positive change by articulating those correlates and holding high expectations that teachers would implement those correlates. He expressed high expectations for his leadership and confidence in his ability to lead his school to excellence through commitment to the effective school's philosophy. He consistently articulated the belief that student achievement was the school's top priority. Students experiencing personal problems had counseling services readily available to assist them. Principal B was a dedicated life-long learner who brought research to his teachers by interweaving it into the inservice he did with the faculty. While he clearly focused upon what needed to be done, methodology and follow through were not as clearly presented.

Principal B repeatedly articulated the importance of the faculty working from a framework of shared purpose. He verbalized to teachers in both formal and informal settings his expectations of them. The expectation that all students could learn was reflected in the repeated emphasis on the importance of the

individual and school pride. He personally encouraged students to participate in school activities. Attendance was encouraged by an exam exemption program. The principal showed respect for teachers and students, picked up paper he found in the hall, and modified the school schedule in order to accommodate evening parent/teacher conferences. He enumerated these actions as "walking the talk of excellence". Those who supported the principal's vision of the school were rewarded by good evaluations, positions of influence, input in program planning and public recognition.

Principal B gathered information and ideas from a wide variety of sources. He brought this information back to the school and made consistent efforts to implement those ideas he thought most beneficial. He conducted most of the inservice and tried to keep the focus of inservice on an air of challenging academic routine. He allocated resources to encourage faculty members to take risks and try new ideas. An articulated curriculum was a goal which was being pursued by the faculty. When hiring a new teacher he looked for someone with new ideas and commitment to student learning.

Principal B worked to keep lines of communication open so a positive, supportive climate could flourish. His informal manner, ready smiles, and compliments generated a warm, comfortable climate. He demonstrated excellent communication skills as he dealt with individuals, and small groups. He was visible and invested energy in dealing with discipline and human needs. Principal B used these positive interaction techniques to generate enthusiasm and commitment within the faculty and the community. He used several monthly publications to keep the public informed about the good news of the school. Information was also shared first hand through the evening parent/teacher

conferences and informal meetings.

Principal C, like Principal B, used the effective schools terminology when discussing implementation of his vision of the effective high school. Because of the low socioeconomic condition of the community, it was necessary to take the school to the community. The principal established strong community awareness of the school's vision through one-on-one business contacts and strong relationships with the community's service organizations. The principal used the strong athletic program to bring positive attention to the school. In spite of the negative feelings of many of the community's parents concerning their own academic experience, Principal C was able to nudge the community forward in support of positive change. He was masterful at telling the good news of the school through an on-going public relations campaign. When articulating his vision for his school Principal C often used the metaphor of the Greek Ideal. He consistently reminded teachers and students alike of the need for personal excellence of body, mind, and spirit.

Principal C articulated a need for all members of the school community to reach for high expectations. He exhibited a decisive, personal confidence that made him easy to follow. He challenged students to be all they could be academically. He defined a strict code of conduct and consistently enforced the consequences for noncompliance. Good attendance was encouraged and the expectation that all students would participate in school activities was broadly understood. The principal used personal contacts to encourage student participation and active involvement. He often used the phrase "we need you" when talking with students about participation. Teachers were expected to pursue agreed upon goals and objectives. This included being available to assist stu-

dents, encouraging student participation in school activities, clearly defining goals and objectives for their specific classes, and articulating, evaluating and revising departmental curriculum to reflect student needs. Teachers were expected to focus on the value of education in developing a strong future of employability and success. Teachers who met these expectations were recognized and rewarded.

The principal was highly visible. He frequently walked the building, going in and out of classrooms, interacting with students when that was supportive to the instructional program. Teachers and students accepted his presence as a matter of routine. The principal expended a high level of energy continuously focusing on the drive to improve, to provide for the needs of students, and to keep the climate positive and hopeful. He used his refined oral and written communications skills to reinforce his vision of the effective school. His expectations and drive for excellence were reflected in his well articulated, business-like daily announcements, well planned and conducted faculty and committee meetings, sincere one-on-one interactions with students, teachers, and community leaders, as well as in television interviews and public speaking engagements. His problem analysis and problem solving skills were well utilized as he led his faculty to define pressing problems, identify their causes and work toward their solutions with consistently low levels of funding or academic support.

Principal C used his social skills and positive interactions to foster a caring, supportive climate that instilled a sense of community. The building was clean and well maintained in spite of obviously low financial funding. Accomplishments of students and faculty members were celebrated; fellowship was emphasized. Pride was an important commodity.

Good citizenship was an important part of Principal C's vision. He emphasized the importance of civility and respect in interpersonal student to student, student to teacher, and teacher to students interactions. The principal always demonstrated courtesy, patience, and respect in dealing with teachers, students, classified personnel, and parents.

In his push for positive change, Principal C worked hard to provide an organizational structure that allowed for input, and action. The departmental structure was used to sharpen the focus on curriculum development, student success, and a response to student needs. The leadership team structure allowed the needs and ideas of the various departments to be coordinated so that continuous efforts for systematic change could be sustained and energy could be channeled most effectively. Principal C added follow through to this structure to enhance the likelihood of success. Though Principal C had limited resources, these were targeted toward positive change. He used these resources to support innovative ideas.

Question 4: WHAT ARE THE COMMONALITIES AMONG THE CHARACTERISTICS, BEHAVIORS, AND STRATEGIES USED BY THE SAMPLE PRINCIPALS?

The strongest commonalities were those in which 100% of the items evaluated by the researcher were proclaimed and observed to be at a moderate to outstanding level for all three principals. Principals in all three cases expressed the need for high expectations for students and teachers, monitoring of student achievement, and providing a safe, orderly, and accepting school climate.

In the area of high expectations all three principals espoused the belief that all students can learn and they projected the commitment that all teachers were expected to do their professional best to help students learn through a

variety of instructional strategies, curriculum refinement and by taking advantage of professional development opportunities. Teachers were expected to refer students for counseling services and coordinate closely with the Drop Out Prevention Specialist concerning at-risk students. The teacher evaluation process was used by the principals as a means of instructional improvement with recommendations for improvement and enrichment included on the teacher's Professional Development Plan (PDP). Students were expected to do their best academically and socially by taking advantage of school offerings. Recognition and rewards were given teachers and students to emphasize the importance of meeting expectations. Principal A appeared to be most successful in the area of expectations because of the strong emphasis upon using instructional improvement as a chief factor of the evaluation process. His high energy vision articulation coupled with his ability to "walk the talk" made implementation of his vision realistically possible. Each member of the school community was aware of his/her responsibilities in achieving the vision that was clearly and consistently articulated by the principal and the majority of the faculty.

In all three cases, the principals proclaimed a need for on-going assessment of student achievement. In many cases this assessment was restricted to the use of state objective testing information. The assessment results were used for emphasis upon instructional improvement. Documentation of improvement was directly linked to the continuing cycle of assessment. Student learning was frequently assessed with student performance being used as an evaluation of the instructional program. The push for documented improvement and the use of assessment for instructional revision was most successfully done by principals A and C. Their consistent expectation for improvement challenged faculty mem-

bers to provide a results driven curriculum.

All three principals emphasized the importance of a safe, orderly, accepting school environment. Strict codes of conduct and agreement upon consequences provided a fair and consistent disciplinary process. Though the three schools were not equal in the structural quality of their facilities, all three were maintained with pride and projected an image of caring. There were special efforts made in each of the schools to be responsive to the academic and social needs of individual students. There was an effort to heighten awareness of the shared purpose of the school to assist students toward successful learning experiences. The guidance personnel played a major role in actualizing a collaborative environment by coordinating the resources of both school and community for the assistance of students, especially for those at risk, or experiencing personally traumatic situations. As a result of these factors, all three schools documented high attendance rates and a high rate of student involvement in extracurricular activities. All three principals invested considerable resources of time, energy, and money to maintain a caring, action oriented environment, with the primary goal of assisting students to take full advantage of the offerings of the school.

The three principals agreed on the necessity of providing a clear instructional focus if their visions were to be actualized. There was agreement among the three sample principals on 70% of the items evaluated which were specifically related to instructional focus. The three principals defined the process as each department being encouraged to maintain a process of curriculum articulation through review and modification, coupled with a clear focus on providing as many program options as possible within the limits of the department. Within the classroom setting, individual teachers were expected to emphasize academic

learning time, use a variety of instructional strategies to meet individual student needs, and set the stage for student achievement being the top priority. Much of the drive for clear instructional focus overlaps the area of high expectations. The consistency with which these expectations are verbalized, acted upon, and monitored seems to be directly proportional to the success of the expectations being implemented in the actual instructional setting of the classroom. It was not surprising that Principal A was more successful at actualizing his vision since his articulation of expectations was clear. He took actions which promoted implementation. He organized ad hoc groups to confront problems, research solutions and design a site-specific plan of action. He expected follow-through and closely monitored progress.

All three schools benefited from the leadership of the principal. Of the 24 items directly associated with principal leadership there was agreement among all three principals on 63% of the items. Each principal had a clear organizational vision of what he wanted his school to be, and each had a clear personal vision of his role in achieving that organizational vision. These three principals understood the importance of being able to articulate this vision to others. Though limited by individual circumstances, each of the principals committed resources of time, energy, and money to initiate positive changes leading toward the goal of actualizing his visions. These principals demonstrated strength in the area of problem analysis. All three principals were able to motivate others through their enthusiastic, high energy personalities that could maintain commitment to their beliefs in spite of obstacles. They used the effective schools literature as the research base for improvements they initiated. All three principals were self-confident, enthusiastic and overtly committed to moving their schools forward.

These principals exhibited good judgment when dealing with difficult situations and in pulling dissimilar factions together for the common good. They employed their personal strengths of good oral and written communication skills to persuade and inspire both individuals and groups to pursue positive change. All three principals exerted their instructional leadership by forming organizational structures that supported and promoted an academic emphasis. These leaders have been changing the cultures of their schools. Principal A has been more successful in this pursuit than the other two principals, though it must be pointed out that culture building is a slow process and principal A had been in his position 12 years, as compared to 6 and 7 respectively for Principals B and C. This longevity gave Principal A the opportunity to hire more teachers who met his expectations.

The most dissimilar group of characteristics, behaviors, and strategies centered around the area of public relations. While all three appeared to have good community contacts and enjoyed a broad base of support, they did not have the characteristics usually enumerated as facilitating positive relations with parents and community. Information was shared on a consistent basis through student, school, and departmental publications, yet parent involvement was limited. Two of the three principals did not have a PTA-type organization at their school; parent conferences were not encouraged by principal A or C. Principal B was committed to this close parent/teacher contact and dedicated resources to providing this contact. Conference nights were scheduled and teachers given time compensation for their involvement. None of the schools had a well organized, visible parent volunteer programs.

There were significant differences among the three principals involved in

this study. Principal A demanded and got high quality performance from his faculty and student body. He was open to examination of the school in the most minute detail and expressed a confidence that the pursuit of excellence would be found. Principal B projected the image of an easy-going old friend, doing his best to serve his community. This conservative community accepted the efforts of the school as worthy of support, thus allowing the principal to gently push the faculty in the way he wanted them to go without being too demanding. The community seemed to accept as improvement the discussion of excellence and some visible signs of that pursuit. Principal C projected the image of a sophisticated business executive, working closely with the media to market his product. The low educational, and resulting low socioeconomic, status of his community made progress difficult. Principal C invested a great deal of energy in having things look good and sound good at the global level without allowing close investigation or scrutiny of details.

Recommendations

QUESTION 5: WHAT SPECIFIC CHARACTERISTICS, BEHAVIORS, AND STRATEGIES CAN BE RECOMMENDED TO PRINCIPALS FOR USE IN IMPLEMENTING THEIR VISIONS OF THE EFFECTIVE HIGH SCHOOL?

As the data from the effective school literature, nomination forms, observations, various interviews and the climate inventories were synthesized, it became obvious that each of the three principals was perceived to be successful in his own setting. Each seemed to rely upon a distinctive cadre of leadership characteristics, behaviors, and strategies. Their uniqueness yielded the critical mass necessary for successful leadership within their setting. The successful high school principal must have this critical mass of assets, even though the exact

ratio of ingredients for any one high school principal cannot be specifically enumerated.

If all three sample principals were found to exhibit a specific characteristic, behavior, or strategy, that item was considered as an important and consensually validated procedure for principals to use in implementing their visions of the effective high school. The list in Table 13 represents the characteristics, behaviors, and strategies found to be effective in the implementation of the visions of the 3 successful principals of effective high schools in this study. A bullet is used to indicate those characteristics, behaviors, and strategies most often found in the literature reviewed. An asterisk is used to indicate those characteristics, behaviors, and strategies most often identified as significant to the principal's success by the researcher.

Table 13
RECOMMENDED CHARACTERISTICS, BEHAVIORS,
AND STRATEGIES
Principal's Vision Study, NC, 1989-1990

-
- * • Clearly states a vision of the best possible future
 - * • Clearly and consistently articulates the vision
 - Allocates resources to actualize vision
 - Uses and expects others to use problem analysis skills
 - * • Processes effective schools research as an improvement framework
 - Employs oral and written skills to enhance success of vision attainment
 - * • Generates enthusiasm and commitment (expectations) to motivate others to action
 - * • Seeks positive change as healthy for the organization
 - * • Assumes role of instructional leader
 - * • Carefully selects new faculty members
 - Exhibits personal confidence
 - Possesses and uses good judgment
 - Nurtures culture building
 - * • Demonstrates organizational abilities

(table continues)

- * Promotes the belief that all students can learn
- * Expects students to do their best
Counseling services are readily available to students
Effective drop out prevention program is in place
- * Teachers are expected to do their professional best
Recognition and rewards are given to teachers and students for excellence
- * Teacher evaluation used for instructional improvement
- * • Principal holds high personal expectations
- * • Stresses the need for using an articulated curriculum
- * Curriculum review and modification is systematically done
- * Emphasizes Academic Learning Time
Encourages development of academically rich program options
- * Consistently expresses that student achievement is a top priority
Encourages the use of a wide variety of teaching strategies
Values and expects clearly focused academic routine to be maintained
- * • Models fair and consistent discipline
 - Provides personal, supportive attention for students
Stresses the importance of the individual
Emphasizes a collaborative environment
Works to establish and maintain a positive climate
- * Focuses attention on a sense of shared purpose
 - Promotes a high attendance rate
 - Encourages a high rate of student involvement
 - Maintains a facility that is clean and attractive
- * Assessment is used to encourage instructional improvement
Documents and uses improvement on objective tests
Frequently monitors student performance
- * Believes that student performance is the best evaluation of the instructional program
- * Search for improvement is results driven
Believes in and supports ethnic and racial pluralism
Information is shared on a consistent basis through school and student publications

NOTE 1: A bullet indicates an item consistently correlated with effective schools in the literature.

NOTE 2: An asterisk indicates an item consistently identified by the researcher as significant to the selected principals' success.

Discussion and Conclusions

The successful principal must have a clear vision of the best possible future for her high school. Though the term "vision" has been applied to schools only quite recently, the concept has a long history, using the terms mission, goal, or purpose. It is as though these words have been used until the right word came along; that word seems to be "vision". Vision takes the quantitiveness of a word like "Goal" and "...transforms purpose into action" (Bennis, 1985, p. 30). The word lifts the spirit, challenges the intellect, and inspires the individual to focus tremendous amounts of energy and commitment on the attainment of the envisioned qualitative best possible future. This vision is expressed in different terms by different principals, much as each poet uses different words to entice us to see and feel his vision of love, Spring, or despair.

High schools are large, diverse, and complex communities. An array of people skills is necessary if the faculty is to be involved and maintain high levels of enthusiasm for, and commitment to, the vision over an extended period of time. If the principal is to lead the faculty in setting and meeting objectives to facilitate vision actualization, an on-going air of intensity and common purpose must be created. The successful high school principal has the ability to motivate members of the school community to action. This brings about positive change which is necessary if the school is to respond to the constantly changing needs of students. Visible commitment to a common ideal can motivate members of the school community to support a nurturing culture within which the vision can be actualized. This requires the investment of high levels of energy and personal dedication on the part of the principal.

The principal's vision begins as a driving force within the individual that yearns to make a positive difference in society and, more specifically, in the lives of students. The vision of the effective high school must be grounded in a broad base of accumulated knowledge about people, learning theory, instructional practices, curriculum, and the building and coordination of complex organizations. Knowledge of the effective schools research literature should provide the basic framework and springboards for program development, evaluation, and improvement. The very statement of a vision implies positive beliefs about humanity and its future. This positiveness can be found in the expectations of goodness expressed by the visions stated by principals in study after study. Principal A saw a school in which all students experienced a quality education within a caring community. He constantly challenged teachers, as well as students, to be all that they could be. Principal B wanted to create a warm, caring place where individual students felt important and capable. Principal C wanted his school to stretch to its limits to be all that it could be by focusing upon excellence in all areas.

If the vision is to be actualized it must be nurtured through consistent articulation and well planned implementation. The vision must be specifically defined so that a plan of action can be articulated, organized, and pursued. This requires that members of the school community understand the vision, buy into its constructs, and be committed to invest energy and resources in its actualization. From this point of commitment the vision becomes the school community's vision, not just that of the principal. Implementation should be supported by a well planned organizational structure that allows a balance of principal control

with on-going input and participation from teachers, students, and the community. The high school organization should allow input to be channelled through a department structure, parent advisory council, PTA, student council, business leaders and community organizations. This organization should support the institutionalization of the vision. The principal must be able to delegate responsibility while maintaining power and influence as “keeper of the vision”.

The successful high school principal must possess a cadre of refined skills and personal characteristics. The principal must have the skills to lead her faculty in assessing the school and defining the correct problems to be addressed. Once the problems have been defined, problem analysis skills are needed in order to evaluate possible options and set a course of action. The principal must have a wealth of background knowledge and experiences to be able to make specific recommendations and warn of possible pit-falls. This knowledge base allows the principal the position of expert leader in change, rather than to observe the change process in action around her. The principal must have good written and oral communication skills in order to consistently keep the vision before the school community. She must be able to establish why schools exist and communicate the agreed upon course of action for vision actualization. She must have the organizational skills needed to orchestrate a large, diverse high school faculty’s long term focus on the vision of the school. At the same time, the principal must be able to attend to the details necessary to attain the specific step by step goals leading to vision actualization. The principal must have the personal drive and stamina to pursue the vision, accepting the fact that success comes from little things done a little better each day over a long period of time. The goal is for the expectations of excellence as defined by the vision to become

the shared assumptions of reality for all within the organization. When all believe and act upon the premise that students will be prepared and on time, strive to achieve and pursue a strong, academically challenging program, the likelihood of these assumptions becoming reality are greatly increased.

The successful high school principal must lead by example in order to draw others to her cause. The principal must demonstrate self-discipline in order to maintain an intense focus on the vision and not be drawn into the comfortable routine of management. Teachers can thus be challenged to resist complacent acceptance of the status quo. Successful teaching should be part of the principal's background of positive experiences brought to bear on the actualization of her vision. This instructionally based credibility allows the principal to effectively implement clinical supervision, which in turn should be closely linked with an on-going staff development program.

One of the goals of the high school is to develop life-long learners. Here again, the principal must lead by example. Reading, professional development, collegial debate and interaction become critical ingredients in keeping the vision responsive to the changing reality of today's world. The successful principal must pursue her vision with self direction and confidence, yet have the wisdom to alter the course to her vision when necessary so the organization does not find itself running head long into obsolescence. The vision must, by design, be a moving target.

The principal can facilitate implementation of her vision through purposeful actions focused on vision attainment. One of the major ways to focus on the vision is through allocation of resources for implementation strategies. Once a problem area is defined, resources should be focused on solutions. These

resources are not limited to the financial. The time allocated for inservice, open discussion of critical issues, followed by problem solving strategy development, and decisive action are all crucial to vision actualization. The finite time and energy of the principal should be allocated so that a significant proportion of these valuable resources are invested in instructional leadership. This instructional leadership is manifested through involvement in curriculum articulation, program evaluation, actual classroom involvement, and firm expectations of progress through positive change. She must take part in ceremonies and rituals which celebrate accomplishments leading to, or signifying actualization of the vision. Instructional time must be seen as a valuable, irretrievable resource that must be protected from the interruptions of announcements, tardy students, and unnecessary field trips. The successful principal leads by exemplifying the agreed upon standards and then presses individuals to maintain or exceed the standards in daily classes, with individual students, on a consistent basis.

The successful high school principal sets the expectations that are congruous with her vision for the school and follows through. The actions of all school community members are expected to proclaim the beliefs that school is a positive, yet serious, work place where all students can learn. Through effective use of motivational techniques, teachers are encouraged to be the best they can be. This includes high quality planning, participation in content-appropriate, challenging inservice, and participation in departmental collaboration. The principal seeks a level of commitment from teachers that allows them to go beyond doing a job, to the enjoyment of the adventures of student learning and accomplishment. The principal is visible within the school. The evaluation process is used as a tool of instructional improvement. Good teachers are re-

warded with praise, while mediocre teachers are monitored, assisted, and challenged to improve. The successful principal has the courage to challenge incompetence. Individual contacts are used to praise excellence in teaching and learning. Teacher candidate interviews are used as a stage for the principal to clearly state expectations and clarify the school's vision. New teachers are carefully selected for their "fit" into the culture of the school community. Students are expected to come to school prepared, be actively involved in their own learning and do their best. Students who meet the challenge of high expectations are recognized and rewarded. This recognition may come in the form of a certificate, ceremony of recognition, media coverage, a personal note, letter, congratulatory conference, or a combination of these.

The successful high school principal insists on a consistent instructional focus. Since student achievement is the top priority, there is a consistent emphasis upon academic learning time. Teachers are expected to establish and maintain a consistently focused academic routine within the classroom. Resources are invested in the thoughtful articulation of curriculum. This curriculum is reviewed and modified in a planned, systematic, on-going manner. The curriculum contains as many options as the student population and breadth and depth of the faculty permits. Resources are invested in teacher training to facilitate the use of a wide variety of instructional strategies within the classroom. Most central is the fact that the articulated curriculum is actually taught when the teacher retreats into the classroom behind closed doors.

In order to maintain active pursuit of the vision, a supportive climate, emphasizing the importance of each individual, must be maintained. A positive climate is one in which teachers and students are treated fairly. Disciplinary

policies are firmly defined and consistently enforced. The facility is well maintained and attractive. The climate of the school is enhanced by the continual focus upon the shared purpose of vision actualization. A collaborative environment is encouraged. Students receive personal, supportive attention from the adults within the school. Teachers express concern for individual students and strive to meet their individual needs. Counselors work to coordinate community services to assist individual students. Drop out prevention receives significant attention from all faculty members. This supportive, individual oriented climate encourages attendance and promotes student involvement in extra-curricular activities. This fosters a sense of belonging that bonds the student to the school community. Adults have a positive sense of accomplishment with each success story. The lounge is the informal barometer that confirms true back stage positive feelings and commitments about the process of schooling our youth.

In order to keep the pursuit of the principal's vision on course, progress must be continually assessed. This assessment is systematically used to encourage instructional improvement. The principal sets the expectation that progress is frequently monitored within the classroom and the results used to improve instruction and, therefore, summative evaluation results. Improvements on objective tests are documented, and used to motivate and encourage students and teachers. The search for instructional and organizational improvement is always results driven. The principal places importance on documentation of student performance and uses this performance to evaluate the quality of the instructional program. Inservice is used to keep faculty members up to date on research findings concerning process. The school product, student achievement, is the final evaluation measure that drives the organization.

The successful high school principal values a positive relationship with the community the school serves. She believes in and supports ethnic and racial pluralism. An intense commitment to equality and excellence is basic to the principal's vision. One without the other is an unacceptable job half done. The community is challenged to understand and support the vision of the school. One of the most effective ways of doing this is through consistent dissemination of information to parents and members of the community at large. This is done through newsletters, conferences, media coverage, open meetings, advisory councils and individual contacts. The best public relations for the high school is the graduation of competent, confident citizens equipped with the skills to assume individual and corporate responsibility within the community.

A review of the long list of characteristics, behaviors, and strategies used by successful principals in implementing their visions of the effective high school shows that the list is not new. The list confirms for the researcher the feasibility of pursuing her vision of the effective high school. In a profession steeped in old guard traditions, it is important for a significant number of new leaders to emerge. These leaders must be willing to be change agents who challenge the status quo and exert the vast stores of energy and commitment required to launch a clear vision of what an effective high school can be.

What is needed is a delicate balance of total commitment and moderation: total commitment to making the system better, tempered by a willingness to moderate personally preferred methods, if necessary, in order to realize success. A willingness to challenge all within the social structure of the school to do their best is needed, coupled with a willingness to accept with hopeful optimism shortcomings and goals not met, so that repeated new positive beginnings are

possible. The principal must have the courage to stand alone when integrity demands it; the wisdom to admit error, and the humility to ask forgiveness.

The principal needed in today's high schools is one who can transform the shadowy illusions of society's dreams of a better future into an attainable, crystal clear vision, and lead the school community in shaping those realities. This requires seeing the vision, proclaiming and pointing the way to the vision, until others see it and believe they too can make a difference by bringing that vision to fruition. This can only happen one school at a time, through the commitment and action of one principal working in concert with her faculty for the betterment of all students placed within their sphere of influence.

Value of Multiple Data Sources

Triangulation of the five data sources allowed the researcher a variety of data related to this study. This proved to be most helpful when data were questionable for inclusion in the study. For example, Principal C made completing the SCCI an optional activity for his teachers. As a result, only approximately one third of the qualified staff members actually completed the inventory in that school. Had this been the only perception data, findings would have been suspect. While data gathered from a review of the literature might generate a list of what "should be found", on site visits and interviews with first hand participants in the school community yielded the site specific information needed to complete this study. Observations allowed the researcher to experience the "feel" of the school and the "humanness" of its existence and growth. Any single data source "hinted at" the reality of the selected principals' characteristics, behaviors, and strategies. Triangulation of the five data sources significantly strengthened that perception beyond the personal biases of the researcher.

Summary of the Major Findings

As a result of this study, the researcher came to 6 conclusions concerning how successful principals implement their visions of the effective high school.

First, successful vision implementation is site specific. The principal must assess the human and material resources available, school climate, community needs and support, and orchestrate these in harmony with her own strengths and weaknesses to develop and articulate a vision appropriate to the student population. Implementation will more likely be successful if the organizational structure is compatible with the vision. Specific input channels and open, receptive lines of communication are necessary. The high school is more complex than its elementary counterpart. Change can be expected to occur more slowly because of the departmental structure and the varying areas of interest held by faculty members.

Second, successful implementation is the result of long term investments of energy and commitment to action for positive change. In a favorable climate, change is seen as an improvement strategy rather than a dreaded enemy. Members of the school community seek to control and guide change through shared information and a clear respect for the humanness of the school community. Risk-taking is supported, encouraged, and rewarded. Change is seen as a never-ending, ever-changing natural cycle of evaluation, revision, adoption, and use which facilitates improvement. Due to the complexity of the high school, change cannot be expected in the short term. Two to three years may be needed before verifiable results occur. The principal must guard against becoming frustrated by slow progress and making the mistake of exerting excessive power.

Third, success occurs on many fronts in small incremental steps. The climate is evaluated more positively, attendance is better, less academic learning time is lost, students take more challenging courses, fewer discipline problems occur, curriculum is carefully articulated, evaluated and revised in a cyclical manner, and a significant number of faculty members become more collaborative. In short, the principal must orchestrate the positive human factors, which, once activated, challenge the school community to move forward toward the shared vision.

Fourth, high expectations are held for all members of the school community. These expectations are clearly stated and monitored. Rewards and recognition are used to reinforce positive strides toward common goals. These expectations are reflected in students being self-disciplined and pursuing a challenging academic program. Teachers respond to the expectations by presenting a well designed, thoughtfully presented instructional plan that revolves around the needs of the students. The principal holds high expectations for herself as the instructional leader of the school. She is a life-long learner who is constantly seeking new ways of improving instructional delivery.

Fifth, the ability to do both global and detailed planning is essential for moving the complex social structure of a high school toward the articulated vision. The vision must be clear and focus on implementation through the positive actions of the whole school community. This requires skills in problem analysis and problem solving. The selected plan of action should be based on research. Once a solution is selected, detailed planning is needed to incorporate all phases of the action. This detailed planning should include strategies, time lines, key responsible persons, and evaluation techniques. In-process evaluation

must be done to assure course corrections as needed. The process of planning is incomplete until action, which is the catalyst for change, is a reality.

Finally, parent and community support is needed. At the high school level it appears that support is more important than actual involvement in the day to day activities of the school. Parents need to understand the vision of the school and the school's plan for actualizing that vision.

The implementation of the principal's vision occurs much as a glacier slowly pushes over the landscape. The entire terrain can be altered to the extent that it truly becomes a new creation. In this process, the carefully selected acts (what will be done) fuse with the unique actions (how it will be done) of the principal to exert a gentle, yet urgent, challenging pressure. Over time the goals can be achieved, and the vision actualized.

Ultimately, the question of successful vision actualization depends upon the leadership of the principal. Is she willing to dream the dream? Can she challenge herself and others in the sustained pursuit of personal and organizational excellence? Does she have the commitment and confidence to initiate educationally sound practices, coupled with energy and caring on a daily basis? Can she overcome the temptation to surrender to the easier chants of gloom and doom so soothing to the conscience?

Success will come if we meet the challenge—willing to put those “best practices” we know and feel into action each day, consistently, thoughtfully, with commitment, and zealous dedication. The essence of effective leadership appears to be as different from effective management as that illusive difference between a robot and an android.

The tremendous challenge of leadership can be found in an unauthored

plaque that hangs in the researcher's office. It states:

Excellence can be attained if you...
Care more than others think is wise...
Risk more than others think is safe...
Dream more than others think is practical...
Expect more than others think is possible.

Questions for Further Study

This study has raised a number of questions that are left unanswered. These questions require further research beyond the limits of this study. These questions are as follows:

1. Do principals in high schools rated below average have visions for their schools?
2. If so, are their visions different from those of the principals of effective high schools?
3. How do the characteristics, behaviors, and strategies of principals in below-average high schools differ from those of the principals of this study?
4. To what degree is there a difference in the types and amounts of parent participation between high schools and elementary school?
5. What is the correlation, if any, between effectiveness of high schools and the quantity and quality of staff initiated inservice?
6. What proportion of high school instructional time is spent using some strategy other than lecture?
7. What instructional strategies other than lecture are being used by teachers in effective high schools?

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APPENDIX A

Nomination Package for 1988-89 Secondary School Recognition Program

CHECK ONE:
 SENIOR HIGH SCHOOL
 JUNIOR HIGH/MIDDLE SCHOOL

Code _____
ED USE ONLY

**Nomination Package for
1988-89 Secondary School Recognition Program**

Cover Sheet

If the information requested is not applicable to private schools, write N/A in the space.

Congressional District _____
Name of Principal
(Mrs., Miss, Ms., Dr., Mr., Other) _____
School Name _____
School Address _____ School Telephone Number _____

I have reviewed the information in this form and to the best of my knowledge it is accurate.

(Principal's signature) Date _____

Name of Superintendent
(Mrs., Miss, Ms., Dr., Mr., Other) _____
District Address _____ Telephone Number (_____) _____

I have reviewed the information in this form and to the best of my knowledge it is accurate.

(Superintendent's signature) Date _____

Name of School Board President or Chairperson
(Mrs., Miss, Ms., Dr., Mr., Other) _____
Board Address _____ Telephone Number _____

I have reviewed the information in this form and to the best of my knowledge it is accurate.

(School Board President's or Board Chairperson's signature) Date _____

Part I - District and School Characteristics

District

1. Number of students enrolled in the district: _____
2. Number of schools in the district:
 - _____ Elementary schools
 - _____ Junior High/Middle schools
 - _____ High schools
 - _____ Total
3. Population Category:
 - ___ Large city (population more than 500,000)
 - ___ Medium city (population 150,000-500,000)
 - ___ Small town (population less than 150,000)
 - ___ Suburban
 - ___ Rural (population less than 25,000 or less than 1,000 people per square mile)

School

4. Number of students enrolled at each level or its equivalent:
 - _____ 5th _____ 6th _____ 7th _____ 8th _____ 9th
 - _____ 10th _____ 11th _____ 12th _____ Total
5. Racial/ethnic composition of the students in your school:
 - ___ % American Indian or Native Alaskan
 - ___ % Asian or Pacific Islander
 - ___ % Hispanic
 - ___ % Black, not Hispanic origin
 - ___ % White, not Hispanic origin
6. Number and percent of limited-English proficiency students in the school:
 - Number _____ Percent _____ %
 - How many languages are represented in the limited-English proficiency student population? _____
7. Percent of students who qualify for free/reduced price lunch: _____ %
 - If this is not a reasonable estimate of the percentage of students from low-income families, please explain.

8. Percent of students receiving special education services: ____%

Please indicate the number of handicapped children according to handicapping condition.

9. Describe any significant changes that have occurred in any of the figures in items 5-8 in the last 3-5 years.

10. Indicate the full-time equivalent (FTE) staff members in each of the following categories:

	FTE
Administrators	_____
Classroom teachers	_____
Teacher aides	_____
Counselors	_____
Subject area specialists	_____
Library and other media professionals	_____
Social workers and other professionals	_____
Security officers	_____
Food Service personnel	_____
Clerical	_____
Custodial personnel	_____
Others	_____
 Total number of part-time staff	 _____

Describe any significant changes in staffing that have occurred in the last 3 years.

11. Number of years the principal has been in his/her position at this school? _____

If less than 3 years, how long was the previous principal at this school? _____

Part II - Eligibility Criteria

A. Please check the appropriate space concerning your school's previous recognition in the Secondary School Recognition Program (SSRP) at the national level.

True False The school did not receive national recognition during the 1986-87 Secondary School Recognition Program.

For information purposes only, please answer the following:

Has your school been recognized previously in the national SSRP?

No Yes School Year _____

Has your school been site visited but not recognized in the national SSRP?

No Yes School Year _____

Has your school ever been nominated to the national SSRP but not been site visited?

No Yes School Year _____

B. Please check the appropriate space for each of the statements below concerning the Office of Civil Rights (OCR) requirements.

True False

The OCR has not issued a letter of findings to the school district concluding that the nominated school has violated one or more of the civil rights statutes or that there is a districtwide violation that may affect the nominated school. (A letter of findings should not be considered outstanding if OCR has accepted a corrective action plan from the district to remedy the violation(s).)

True False

The nominated school or district is not refusing OCR access to information necessary to investigate a civil rights compliance or to conduct a districtwide compliance review.

True False

The Department of Justice does not have a pending suit against a school district alleging that the nominated school, or the district as a whole, has violated one or more of the civil rights statutes or the Constitution's equal protection clause.

Part III - Conditions of Effective Schooling

In responding to all of the questions in Part III, provide specific details and examples so that reviewers may understand what your school is really like.

A. Leadership

1. What is the principal's vision for the school and its students? Be specific in describing priorities and the way in which policies and programs support their implementation.
2. How does the school leadership create a sense of shared purpose among the faculty, students, parents, and community? Describe how and how often goals are developed, reviewed, and communicated to students, teachers, parents, and the wider community.
3. How is the instructional leadership role carried out in the school? Be specific about who performs what particular functions.

B. Teaching Environment

1. What opportunities exist for teacher input in decisions about instruction, curriculum, discipline policy, teacher evaluation, and other activities? Provide specific details on each type of involvement.
2. What provisions are made to enable staff to engage in collegial planning and implementation relative to the educational programs of the school? Describe the nature and extent of such collaboration.
3. To what extent are staff development opportunities congruent with the defined priorities of your school? Describe each of these staff development programs in terms of the amount of time required and the number of staff members participating.
4. What are your school's formal procedures for evaluating teachers? Include information on the person(s) involved, the frequency, and the nature and extent of feedback to the teacher.
5. How does your school identify and reward excellent teachers? Describe both formal and informal methods.
6. What are the three most significant efforts your school is making to provide favorable staff working conditions?

C. Learning Environment

1. What are your requirements for graduation? (Middle and junior-high schools should describe what requirements must be satisfied before a student is promoted out of that school.)

	Number of years
English	_____
Math	_____
History	_____
Civics	_____
Other Social Studies	_____
Science	_____
Foreign Language	_____
Physical Education	_____
Fine and Performing Arts	_____
Vocational Education (including Industrial Arts and Home Economics)	_____
Religion	_____
Computer Education	_____
Community Service	_____
Others (please specify)	_____

2. How do you demonstrate the expectation that all students can learn? Describe both formal and informal means to communicate this message.

3. What initiatives have you taken at the school level to adapt the academic program to the needs of your students? Be as specific as possible in indicating modifications for specific groups of students.

4. How are students encouraged to complete course work that exceeds basic requirements? Include your best estimate of how many students exceed these requirements and in what areas.

5. In what subjects do you provide opportunities for advanced study or honors classes?

Please use the chart below to indicate the number of students in advanced study or honors classes, indicating how advanced study is defined.

	Number in advanced study	Definition of advanced study
English	_____	_____
Math	_____	_____
Social Studies	_____	_____
U.S. History	_____	_____
Civics	_____	_____
Other Social Studies	_____	_____
Foreign Language	_____	_____
Science	_____	_____
Religion	_____	_____
Computer Science	_____	_____
Other (please specify)	_____	_____

Total _____
 (Students enrolled in more than one course should be counted only once.)

6. What programs do you offer to provide remediation in basic skills or other areas? Describe these programs, and indicate specifically how students are selected for them.

7. How is curriculum developed in your school? Include information on the frequency of curriculum review and procedures for identifying and filling gaps in the curriculum, as well as for insuring proper sequencing and articulation across levels.

8. Besides traditional or direct instruction, in what unique ways is instruction delivered within and outside your school? In responding, consider such strategies as cooperative learning, interdisciplinary instruction, peer tutoring, etc.

9. What opportunities do students have to meet with counselors, teachers, or other adults for academic and personal advisement? Describe specific programs or strategies, and provide information on the extent to which students take advantage of these opportunities.

10. What specific programs or procedures does your school have to identify, counsel, and assist potential dropouts or other "high-risk" students? Indicate in your description the number of students served.

11. Other than through report cards, how does the school assess and notify students and parents about student progress?

12. What is your school's overall approach to discipline? Include information on the extent of the problem, special procedures or programs to maintain order and discipline, and the factors that contribute most to order in your school.

13. By what means does the school discourage the sale, possession, and use of drugs, including alcohol and tobacco, by its students on and off school premises? Provide evidence of the effectiveness of these policies and procedures.

14. What opportunities do students have to help solve classroom and school problems? Describe specific programs and strategies, and indicate the extent of student participation.

15. How do school programs, practices, and policies, as well as individual teachers and administrators, foster the development of sound character, democratic values, ethical judgment, good behavior, and the ability to work in a self-disciplined and purposeful manner?

D. Institutional Vitality

1. What regular procedures do you follow for evaluating your instructional programs and the school's organizational structure? Address in your response how data are analyzed and used to improve the instructional program.

2. How has your school responded to recent research and the findings and recommendations of major reform reports and national assessments concerning the shortcomings of American education? Provide specific details on any subsequent changes implemented in your school to enhance student knowledge in such subjects as history and literature and to improve student writing skills.

3. What is it that you believe makes your school a unique and successful place worthy of national recognition?

4. As you look back over the last three to five years, what conditions and changes have contributed most to the overall success of your school? Describe problems, and impediments your school has faced and overcome during that period.

5. What do you consider the major educational challenges your school must face over the next 5 years?

E. Parental and Community Support

1. What initiatives has the school taken to encourage parents to provide for their children a supportive learning environment in the home and to extend learning opportunities in the community? Include in your discussion the school's homework policy and the role of parents in enforcing it.

2. What opportunities are there for participation with the school by other groups in the community, such as business associations and nonprofit groups? Be specific in providing examples of actual participation.

F. Indicators of Success

1. What type of grading system do you use in your school? Provide information on what percentage of students are receiving particular grades at each grade level, and explain any significant change in these rates in the last 3-5 years.

2. What formal procedures does your school have for measuring and reporting on student achievement, e.g., performance on standardized achievement tests, college entrance examinations, individual learning plans, etc.? Be specific in describing them, and, in a form appropriate for your school, indicate the results for the last three evaluation periods.

3. Of the students who graduated last year, approximately what percent:

Middle Level Schools
 Enrolled in high school? _____%

High Schools
 Enrolled in a 4-year college or university? _____%
 Enrolled in a community college? _____%
 Enrolled in vocational training? _____%
 Enlisted in the military? _____%
 Found full-time employment? _____%
 Found part-time employment? _____%
 Found appropriate postgraduate placement? (special education schools only) _____%

Describe and explain significant changes in these rates in the past 3-5 years.

4. What was your school's performance last year in the following areas?

Daily student attendance _____%
 Daily teacher attendance _____%
 Number of disciplinary referrals _____
 Number of students involved in disciplinary referrals _____

Include your definition of *disciplinary referrals*.

If any of these figures have changed by more than 10% in the last 3-5 years, describe the changes and the reasons for them.

5. What percentage of your students have dropped out of school in each of the last 3 years? (This question may not be applicable to junior high/middle schools.)

1987-88 _____ %

1986-87 _____ %

1985-86 _____ %

What is your district/school definition of a *dropout*?

If these rates have changed by more than 10%, explain the reason(s) for the changes.

6. What awards, scholarships, or other recognition have your students received in academic, vocational, athletic, or co-curricular competitions? Describe what the school does to encourage students to enter appropriate competitions.

G. Special Emphases: Geography and Strengthening Curriculum Requirements

1. Geography

What is the nature and extent of geography education in your school? Describe school-wide goals for geography education. State your school philosophy for the teaching of geography, e.g., hands-on geography, interactive activities, field research. Explain how you have developed your geography program to go beyond memorizing and locating place names. Provide concrete evidence that students are achieving according to expectations. Explain how geography is integrated with other subjects. Point out features of geography instruction in your school that make it an exemplary program.

2. Strengthening curriculum requirements

High schools should complete both a and b. Junior high and middle schools should respond to only b.

a. How has your school responded to the recommendation in the 1983 Report *A Nation At Risk* that "at a minimum, all students seeking a diploma be required to lay the foundations in the Five New Basics by taking the following curriculum during their 4 years of high school: (a) 4 years of English; (b) 3 years of mathematics; (c) 3 years of science; (d) 3 years of social studies; and (e) one-half year of computer science"? In addition, two years of foreign language in high school are strongly recommended for college-bound students. Include in your response the percentage of seniors graduating in 1988 who have completed the "new basics," as compared with the percentage of graduating seniors who completed them in 1983.

b. In addition to increasing graduation requirements, what has your school done to strengthen the actual content of the courses taken? Describe the process you have used to arrive at a rich and demanding core curriculum, i.e., a common body of knowledge and skills, for all students. For the curricular area(s) in which you have made most progress to date, discuss changes in the overall syllabus and individual courses; and indicate how *at the school level* you have adapted the delivery of this content in light of your student body.

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Appendix B, 215-218

University Microfilms International

APPENDIX C

SAMPLE OBSERVATION/INTERVIEW GUIDE FOR SCHOOL VISIT

Points and Questions for Second Visit-School A

PRINCIPAL

- Describe your vision of the effective high school.
- What strategies have you used to implement that vision?
- What are the symbols of that vision in your school?
- How do you get others to buy into your vision?
- How does your organizational structure support that vision?
- How do you project the importance of your vision?
- Education Compact with County Commissioners
- What, structure for evaluation, time frame, and initial results—What incentives?
- Teachers' Handbook—May I see a copy?
- How are teacher working late hours for conferences?
- Enrichment committee activities for 89-90?
 - How originally organized?
- How to maintain volunteer effort (hours and type of involvement)—who coordinates?
 - How initiated?
 - How maintained?
- Types of public relations efforts used to spread the vision?
- What strategies are used to get teachers work hours after school? (required or by appointment)
- How is In-School managed?
 - Scope of parent communication?
 - Efforts beyond state mandated service?
- Organization for faculty input?
- Strategies for effecting change?
- Strategies for parent involvement?
- Strategies for community/business involvement?
- Observation schedule—what type of documentation?
- What types of teacher recognition programs?

MATH TEACHER

Curriculum guide for General Math (new course)?

Principal's process for allowing this type change?

How do you incorporate thinking skills in your classes?

Do you use seminar teaching? How did you get it started in your classes?

What organizational/instructional strategies did the leadership exercise to assure seminar teaching took place?

ENGLISH TEACHER

Reading Lists and vocabulary teaching ideas?

How was writing incorporated in all classes? (examples)

How do you incorporate thinking skills in your classes?

FOREIGN LANGUAGE

How do you incorporate thinking skills in your classes?

SCIENCE TEACHER

How do you incorporate thinking skills in your classes?

SOCIAL STUDIES

How do you incorporate thinking skills in your classes?

VOCATIONAL DEPARTMENT

How do you incorporate thinking skills in your classes?

CULTURAL ARTS

How do you incorporate thinking skills in your classes?

COUNSELING DEPARTMENT

Group guidance (thru Science?) how often?

Tied with Curriculum?

Is credit given?

How are students able to meet with counselors during the day?

How referred to extended day program at Catawba Valley?

Is there an extended day program at this school?

Forsight Committee—function and accomplishments?

Frequency of parent/teacher or parent/teacher/student conferences?

Deficiency reports—how often and to which students?

Frequency and content of ISS counseling?

DROP OUT PREVENTION SPECIALIST

Reduction of drop out rate?
Improvement of attendance?

SPECIAL PLACES TO VISIT

Vocational Classes?
Special Education Classes?
Department offices and workrooms?
In-School suspension?

PARENT ADVISORY PANEL

How often do they meet?
Agenda for meetings?

APPENDIX D

Sample Content AnalysisSECTION ONE
LEADERSHIP

1. What is the principal's vision for the school and its students? Be specific in describing priorities and the way in which policies and programs support their implementation.

RESPONSE	SCHOOL		
	A	B	C
REPEATING THE VISION			
Vision statement			
Quality and Care for All	N		
Dare to Excell	N,O		
Important people attend school at our school		N,O	
Our standard is excellence			N
Excellence in all areas of school	O,I		N,I
Commitment to comprehensive prog.	O,I		N
High expectations	O,I	N,I,O	N
Importance of the Individual	O,I	N,O	N
SYMBOLS OF THE VISION			
Motto found displayed:			
on handbook DARE TO EXCELL	N,O		
found hanging in office	N,O		
displayed in the school lobby	N,O	N,O	
"Making High Scores" program		N	
Senior Honors Assembly	I	N	
All Sports Banquet	I	N	
Principal's Attendance at all school functions possible	I	N,I	
Principal's vision has molded:			
programs for needs of st./comm.			I
Weighted curriculum	I	I	N
AP Program	I,O	I	N
Vocational Honor Society	N		
Student Recognition banquets	I		N
Strong Community Support	I	I	N

Higher scores on obj. tests	I		N
Stud. elect.to dist/st. offices			N
Lower dropout rate	I		N
High attendance rate	I	I	N
More positive school climate	I	I	N
inservice	I		I
principal's presence	I,O	I,O	I
what we talk about	I,O		I
Vision communicated through:			
"Walking the talk"		I	
inservice focus	I	I	I
evaluation process	I,O	I	I
presence in the instr.enviorn.	O		I,O
STAFF INVOLVEMENT			
Enrichment committee	N		
Personal notes to staff		N,I	
Onward To Excellence Campaign		N	
Each dept.identifies str/weak. based upon objective data	I		N
MEET STUDENTS NEEDS			
Variety of programs	N,O	O,I	N
Variety of levels for programs	O	O	I,O
Seminar teaching techniques	N,I		
Critical Thinking (in all content)	N,I		
Writing skills (in all classes)	N,I		
Question of the Week contest	N		
Exchange program	I	N	
Tech Prep			I
EVALUATION OF SUCCESS			
Improve performance on Comp. Tests	N	I	
Improved perform. on obj. tests	I		N
CONCERN WITH PERCEPTION			
School to be best it can be	N	I	
Encourage sts. to be their best	N	I	N

2. How does the school leadership create a sense of shared purpose among the faculty, students, parents, and community? Describe how and how often goals are developed, reviewed, and communicated to students, teachers, parents, and the wider community.

RESPONSE	SCHOOL		
	A	B	C
BROAD BASE OF INVOLVEMENT (STUDENTS)			
Question of the week contest	N		
Emphasis upon athletics			I,O
Weekly guidance bulletins	N		
Random selection of st. discussion	N		
Scheduled St. Council mtg. w/princ. to ident. goals, obj. strateg.	I	N	
Inter-club council reviews st. needs, concerns, and ind. club purposes		N	
Connections program		N,I,O	O
Open door policy by principal	O	N,I,O	O
Student birthdays posted		N	
Calendar of events published	O	N,O	
St. appear before civic groups		N	
St. express opinions in newspaper		N	
St. speak to comm. through cable TV		N	
Stud.rec.for outstanding perform. by local newspaper "Raider Review"	I		N,I,O
by local radio station			N,I
Student Senate			I
Clubs			I
BROAD BASE OF INVOLVEMENT (COMMUNITY)			
Foresight committee	N		
Education Compact with Catawba County	N,I		
Media Coverage	N		N,I,O
Booster Clubs	N	N,I	N,I
Fabulous Forty (subset of boosters)			N,I
Parents as volunteers	N		
handbook updated and shared	N	I	N
weekly guidance bulletins	N	I	
guidance conferences	N	I,O	
Career Guidance Center			I,O

Banners in the mall	N		
Bulletinboards	N	N	
Daily announcements	N	N,O	O
Announcements made by principal			O
Involve parents in registration	N,I	I	
Registration confirmed by mail			I
St. appear before civic groups		N	
St. express opinions in newspaper		N	
St. speak to comm. through cable TV		N	
School Based Committee meetings		N	
Marque in front of bldg adv. events		N,O	
Open house in the Fall	I	N	I
Parent conferences	I	N,I,O	N
Phone calls	I	N	I,O
Newsletters and letters		N,I,O	
Literary Magazine		N,O	
Local colleges (2/4 yr) involved	I	I	I,O
Comm. Attend. at school events	I	N	I
Parent financial aid workshop		I	N,I
Industry on parade exhibit			N
Homecoming sponsored by downtown assoc.			N,I
BROAD BASE OF INVOLVEMENT (FACULTY)			
Text and material selection	N,I	I	I
Determine course reqments & pre-regist	N	I	I
Emphasis on what is best for students not what is most convenient	O	N,I	
Weekly faculty meetings for information			N,O,I
Evaluation process communicates goals and purposes	I		N
Teachers involved in goal setting		N	N,O
Review, rec. policies			N
prioritize values they hold		N	
prioritize values of community		N	
Compare lists of values		N	
Technique to heighten emphasis and awareness of differences		N	
Teachers challenged to define how they could make a difference		N	I
Teas challenged to set personal goals		N	I
PDP stresses meeting st. success goals		N	
Goals devel./reviewed/commun. by pr.		I	

EMPHASIS ON IMPORTANCE OF INDIV. THRU

letters		N	
staff handbook		N	
memos		N	
monthly calendars		N	
athletic events		N	I
grad addresses		N	
assembles		N	
Daily conversations		I	
Actions of support for improve.	O	O	

3. How is the instructional leadership role carried out in the school? Be specific about who performs what particular functions.

RESPONSE	SCHOOL		
	A	B	C
ROLE OF THE PRINCIPAL—INSTR. LEADERSHIP			
Changes in Math Department	N,I		
Thinking skills	N,I		
Keeps up to date re: materials	N,I	I,O	
Keeps up to date re: trends	N,I	I,O	
Encourages exchange of newly found info	N		
Encourages participation in workshops	N,I		I
Chair meetings to address needs	N		N,I,O
Dept. meetings to address curriculum	N	I	N,I,O
Instr. monitoring to Asst. Principals	N		I
Tea job desc. incl. Curr. planning, implementation and evaluation		N	
All tea are aware of effect. tea. pr.		N	
Depart. ch. work with tea and st.		N	
Each spring Pr. and Dept Ch. meet to:			
review st. progress	I	N	I
End of Course results	I	N	I
Course content and offerings	I	N	
Asst.Pr.wks w/ch.to prov.bks & matls	I	N	I
Asst. Pr. have spec. assigned duties	I,O	I,O	N,I,O
Pr. uses Ctrl off. staff for inserv.		N	I
Directs staff,oversees facilities			N
Holds weekly faculty inform. meetings			N
Pr. writes weekly article for local paper.			N
Pr. has weekly public radio report			N
Pr. uses ftball clips to advert.school			I

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Appendix E, 227-233

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APPENDIX F

School Climate and Context Inventory Group Data Analysis
Median By Cluster

School: A

GROUP MAJORITY MINORITY

CLUSTER I (Collaborative environment supports mutual purpose and direction evident through involvement by all in decision making and problem solving. Items # 1-5, 37)

Administration	3.42	3.50	3.00
Parents	2.83	2.83	NONE
Teachers	3.00	3.00	NONE
Students	2.67	2.83	2.33

CLUSTER II (Expectations are openly communicated; students are consistently treated fairly and equitably. Items # 6-9, 41, 42, 44)

Administration	4.00	4.00	3.79
Parents	3.07	3.07	NONE
Teachers	3.00	3.00	NONE
Students	2.43	2.71	2.43

CLUSTER III (Students feel that they belong to, and are important, contributing members in, the school community. Items # 10-15, 39, 40)

Administration	3.63	3.63	3.94
Parents	3.00	3.00	NONE
Teachers	2.94	2.94	NONE
Students	2.88	3.00	2.50

CLUSTER IV (Positive expectations result in rules being developed and implemented that support the educational growth of students. Items # 16-19, 38, 45)

Administration	4.50	4.67	3.17
Parents	2.83	2.83	2.50
Teachers	3.58	3.58	NONE
Students	3.00	3.17	2.67

CLUSTER V (Teaching methods and materials reflect the instructional needs of students. Items # 20-23)

Administration	4.00	4.00	5.00
Parents	3.00	3.00	NONE
Teachers	3.50	3.50	NONE
Students	2.75	2.50	3.00

CLUSTER VI (Supportive assistance is provided students with non-academic problems. Items # 24-27)

Administration	3.38	3.50	2.50
Parents	3.00	3.00	NONE
Teachers	3.25	3.25	NONE
Students	2.50	2.50	2.50

CLUSTER VII (Personal relations among faculty, parents, and community seek to build bridges of understanding and break down stereotypes. Items # 28-31, 36, 43)

Administration	3.25	3.33	2.33
Parents	2.25	2.25	NONE
Teachers	2.75	2.75	NONE
Students	2.17	2.17	2.33

CLUSTER VIII (Physical environment is attractive and safe. Item # 32-35)

Administration	4.00	4.00	3.00
Parents	3.00	3.00	NONE
Teachers	3.50	3.50	NONE
Students	2.75	2.75	2.75

APPENDIX G

School Climate and Context Inventory Group Data Analysis
Median by Cluster

School: B

GROUP MAJORITY MINORITY

CLUSTER I (Collaborative environment supports mutual purpose and direction evident through involvement by all in decision making and problem solving. Items # 1-5, 37)

Administration	3.58	3.58	NONE
Parents	3.83	4.00	2.50
Teachers	3.67	3.83	2.83
Students	3.67	3.58	3.75

CLUSTER II (Expectations are openly communicated; students are consistently treated fairly and equitably. Items # 6-9, 41, 42, 44)

Administration	3.29	3.29	NONE
Parents	3.43	3.43	2.71
Teachers	3.50	3.57	3.43
Students	3.00	2.93	3.00

CLUSTER III (Students feel that they belong to, and are important, contributing members in, the school community. Items # 10-15, 39, 40)

Administration	3.88	3.88	NONE
Parents	3.75	3.75	3.00
Teachers	3.88	3.63	4.06
Students	3.88	3.88	3.75

CLUSTER IV (Positive expectations result in rules being developed and implemented that support the educational growth of students. Items # 16-19, 38, 45)

Administration	3.83	3.83	NONE
Parents	4.00	3.19	2.67
Teachers	4.08	4.00	4.50
Student	3.50	3.50	3.83

CLUSTER V (Teaching methods and materials reflect the instructional needs of students. Items # 20-23)

Administration	4.00	4.00	NONE
Parents	3.50	3.75	3.50
Teachers	4.00	4.00	3.50
Students	3.25	3.00	3.75

CLUSTER VI (Supportive assistance is provided students with non-academic problems. Items # 24-27)

Administration	3.00	3.00	NONE
Parent	3.50	3.50	3.00
Teachers	3.75	3.75	3.50
Students	3.00	3.00	3.25

CLUSTER VII (Personal relations among faculty, parents, and community seek to build bridges of understanding and break down stereotypes. Items # 24-27)

Administration	3.33	3.33	NONE
Parents	3.33	3.33	3.17
Teachers	3.17	3.17	3.08
Students	2.83	2.83	2.58

CLUSTER VIII (Physical environment is attractive and safe. Item # 32-35)

Administration	3.00	3.00	NONE
Parents	4.25	4.25	3.00
Teachers	3.75	3.75	3.38
Students	3.75	3.50	4.00

APPENDIX H

School Climate and Context Inventory Group Data Analysis
Median By Cluster

School: C

GROUP MAJORITY MINORITY

CLUSTER I (Collaborative environment supports mutual purpose and direction evident through involvement by all in decision making and problem solving. Items # 1-5, 37)

Administration	4.17	_____	_____
Parents	4.67	4.67	NONE
Teachers	3.33	3.50	2.92
Students	3.00	3.00	3.25

CLUSTER II (Expectations are openly communicated; students are consistently treated fairly and equitably. Items # 6-9, 41, 42, 44)

Administration	4.21	_____	_____
Parents	N.A.	N.A.	NONE
Teachers	3.00	3.00	3.00
Students	2.86	2.86	2.71

CLUSTER III (Students feel that they belong to, and are important, contributing members in, the school community. Items # 10-15, 39, 40)

Administration	4.19	_____	_____
Parents	N.A.	N.A.	NONE
Teachers	3.31	3.31	3.38
Students	3.13	3.19	3.13

CLUSTER IV (Positive expectations result in rules being developed and implemented that support the educational growth of students. Items # 16-19, 38, 45)

Administration	4.50	_____	_____
Parents	5.00	5.00	NONE
Teachers	3.50	3.50	3.00
Students	3.00	3.00	3.17

CLUSTER V (Teaching methods and materials reflect the instructional needs of students. Items # 20-23)

Administration	4.25	_____	_____
Parents	N.A.	N.A.	NONE
Teachers	3.63	3.63	3.38
Students	3.00	2.75	3.50

CLUSTER VI (Supportive assistance is provided students with non-academic problems. Items # 24-27)

Administration	4.13	_____	_____
Parents	N.A.	N.A.	NONE
Teachers	3.50	3.50	3.25
Students	2.75	2.75	2.75

CLUSTER VII (Personal relations among faculty, parents, and community seek to build bridges of understanding and break down stereotypes. Items # 24-27)

Administration	3.00	_____	_____
Parents	N.A.	N.A.	NONE
Teachers	2.50	2.50	2.00
Students	2.50	2.50	2.50

CLUSTER VIII (Physical environment is attractive and safe. Item # 32-35)

Administration	4.25	<u> </u>	<u> </u>
Parents	5.00	5.00	NONE
Teachers	3.75	3.75	4.25
Students	3.25	3.25	3.25