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INFLUENCE TACTICS EMPLOYED BY HIGH SCHOOL ASSISTANT
PRINCIPALS IN ATTEMPTING TO INFLUENCE THEIR PRINCIPALS

by

Brian L. Maher

A DISSERTATION

Presented to the Faculty of
The Graduate College at the University of Nebraska
In Partial Fulfillment of the Requirements
For the Degree of Doctor of Education

Major: Educational Administration

Under the Supervision of Professor Daniel Levine

Omaha, Nebraska

May, 1999

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DISSERTATION TITLE

Influence Tactics Employed by High School Assistant Principals in

Attempting to Influence Their Principals

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Finally, thank you to my wife Peggy. Peggy, I love you and I thank you. You are a constant in my life. The conclusion of this work could not have taken place without many sacrifices from you. Your patience, encouragement, kindness, and sometimes silence were always well timed and nearly always appreciated. This dissertation, like most things in my life, would not have been completed without you.

INFLUENCE TACTICS EMPLOYED BY HIGH SCHOOL ASSISTANT PRINCIPALS IN ATTEMPTING TO INFLUENCE THEIR PRINCIPALS

Brian L. Maher, Ed. D.

University of Nebraska, 1999

Advisor: Dr. Daniel Levine

An important element of success in any managerial position rests in an ability to positively influence superiors. Nowhere in schooling is the need to be able to influence superiors more apparent than in the high school assistant principalship. Despite the similarity in titles, assistant principals are not principals. Their positions do not carry the authority of the principalship, and they-even more than a classroom teacher- are directly dependent upon the principal for job assignments, direction, permission, and support. Success in the assistant principalship requires a positive and mutually influential relationship with the principal. The nature of their work drives assistant principals to practice upward influence.

The purpose of this survey study was to (a) identify influence practices employed by high school assistant principals; (b) to assess what impact, if any, gender may have upon tactic selection; (c) to assess what impact, if any, age has upon tactic selection; (d) to assess what impact, if any, the number of assistant principals in a building has upon tactic selection; (e) to assess what impact, if any, experience level has upon tactic selection.

An assistant principal's ability to successfully fulfill the responsibilities of his or her job is, at least in part, tied to the communication line to the principal. This study allows APs to know which upward influence tactics are available and utilized. Performance appraisals may well be tied to an AP's ability to influence the principal. The perception of whether or not the AP has good communication skills may even be tied to persuasive prowess.

This study provides additional knowledge regarding the high school assistant principalship and the work behaviors of those who hold the position. The findings may have implications for pre-service and in-service training for administrators.

I had what I considered to be a great idea for our school. The idea was a significant change in the way we were currently operating. The idea needed to be explored, researched, and, if the time and efforts would confirm my initial speculation, implemented. I was the high school assistant principal. My challenge was to figure out how to initiate such a strategic change. I knew, without a doubt, I must first gain the support of my principal. This was not to be manipulative, underhanded, or deceitful, yet I knew I must influence the principal to gain support for my issue.

This quandary of how to go about garnering that support occurs every day, to some degree, in the life of a high school assistant principal.

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Chapter 1

INTRODUCTION

An important element of success in almost any managerial position rests in an ability to positively influence superiors (Gabarro & Kotter, 1993; Yukl & Falbe, 1990). Almost half a century ago, Pelz (1952) demonstrated that there is a strong correlation between being able to positively influence those above you in the hierarchy and being able to successfully influence those at and below your own organizational level.

Probably nowhere in schooling is the need to be able to influence superiors more apparent than in the high school assistant principalship. Despite the similarity in titles, assistant principals are not principals. Their positions do not carry the authority of the principalship, and they—even more than a classroom teacher—are directly dependent upon the principal for job assignments, direction, permission, and support. (Hartzell, Williams, & Nelson, 1995; Marshall, 1993; Pellicer, Anderson, Keefe, Kelly, and McCleary, 1988; Reed & Himmler, 1985). Success in the assistant principalship requires a positive and mutually influential relationship with the principal (Marshall, 1993). The nature of their work drives assistant principals to practice upward influence techniques.

Upward influence processes have been the subject of research in work place studies outside of education, but a review of the available literature reveals little attention to the subject in educational settings. Mowday's 1978 study appears to be the only one concerned with upward influence in schools at all, and no study has ever been done of the upward influence techniques employed by high school assistant principals. Even if Mowday's study were definitive, it is twenty years old.

The purpose of the present study was to contribute to filling the gap in what we know about the assistant principalship and to broaden what we know about the use of upward influence techniques.

Importance of the Study

From a practice perspective, this study has several implications. At the most basic level, the results tell us more about the nature and operation of the assistant principalship. This is important for several reasons. First, the assistant principalship is one of the least researched and least understood positions in school administration studies (Hartzell, 1993; Hartzell et al., 1995; Marshall, 1992, 1993), despite the fact that the vast majority of secondary schools with student populations over six hundred have one or more assistant principals (Pellicer et al., 1988). Secondly, assistant principals are involved in virtually every area of high school operation (Austin & Brown, 1970; Hartzell, 1993; Hartzell et al., 1995; Marshall, 1992, 1993; Pellicer et al., 1988; Pellicer & Stevenson, 1991; Reed & Himmler, 1985). Their success in many ways affects overall school success. Third, the assistant principalship is the gateway to the principalship and to the superintendency (Marshall, 1993). The greatest pool of applicants for future principalships is made up of assistant principals (Pellicer et al., 1988). Their success is important to the future of the principalship, and to education in general. Taken as a whole, the results of this study offer insights into factors which affect the performance level of assistant principals, and so have pre-service and in-service implications.

From a research perspective, this study is important because it extends upward influence inquiry into a new environment. There is research evidence that educational

organizations are qualitatively different from other types of organizations, especially private sector for profit organizations (Cohen & Olsen, 1996). Most of the research on upward influence techniques has been done in private sector settings. No studies have been done to date that examine the upward influence techniques employed by high school assistant principals. This study provides a description of those techniques and a description of how their use compares with what we know of their use in other types of organizations. This has implications for understanding the nature of schools as organizations as well as for understanding the practice of upward influence.

Statement of the Problem

Working Managerial Relationships

The supervisor-subordinate relationship is changing in organizations today. Much of this change is driven by the notion that an empowered work force will be a more productive work force.

Redding (1972) suggests that an ideal climate for communication exists if the following five dimensions exist: (a) supportiveness; (b) participative decision making; (c) trust; (d) openness and candor; and (e) high performance goals. Many new approaches in management incorporate a much broader conception of organizational management, including team structures and increased employee involvement, than those of the past (Barker, Melville & Pacanowsky, 1993).

There is evidence that allowing influence in the decision-making process and inspiring a shared vision is positively related with subordinate satisfaction and commitment in the work environment. Linked with Deluga's (1988) assertion that effective leadership implies an understanding of how managers and employees

influence one another (p. 456), and Kusy, Isaacson, and Podolan's (1994) assertion that organizations should actually encourage employee upward influence, this suggests that subordinate influence practices are a necessary component of today's well managed organization. Deluga (1988) noted that "effective leadership implies an understanding of how managers and employees influence one another" (p. 456). Yukl and Falbe (1990) contend that one of the most important determinants of managerial effectiveness is success in influencing subordinates, peers, and superiors (p. 132).

If subordinate influence practices are necessary to organizational success, it follows that we who work in organizational settings should attempt to understand the processes involved in the successful practice of influencing a superior. At minimum, subordinates in organizations should attempt to understand the range of influence tactics available to them in the work environment.

Seibold, Cantrill, and Meyers (1994, p. 568) suggest that effective managers (a) view the person to be influenced as an ally rather than an adversary, (b) seek to understand the needs and goals of the influence, (c) seek win-win outcomes, (d) strive to create bases of trust across formal and informal boundaries, (e) express confidence in subordinates accompanied by high performance expectations, (f) foster opportunities for subordinates to participate in decision making, (g) provide autonomy from bureaucratic control, and (h) use power in a positive manner (p. 568).

Effectiveness in upward influence generally translates to effectiveness in lateral or downward influence attempts. Those with the ability to influence in an upward fashion have been found also to be good at influencing in other directions (Pelz, 1952).

The influencing process can be facilitated through an understanding of how to

sell issues to top management. Organizational structures that fail to provide legitimate avenues for worker participation in decision making can suppress the overall amount of upward influence activity (Krone, 1992). This happens when the worker doesn't feel as though his or her ideas are wanted, let alone appreciated. Influence attempts are also dampened when the individual doesn't know which influence tactics are available or appropriate to a given situation. Because the employee feels a lack of voice, or involvement in the organization, many great ideas may never even be verbalized, let alone given due consideration.

The level of influence exercised by a subordinate may well have much to do with the relationship previously formed between the superior and subordinate. Schilit (1987) found that subordinates were more influential in long-standing working relationships, in less risky situations, and in smaller organizations. Krone's (1992) research shows that the leader-member relationship, centralization of authority, and organizational socialization affect which strategy is chosen in upward influence situations. Scandura, Graen, & Novak (1986) also found more upward influence activity in high quality leader-member exchanges than in lower quality interactions.

Organizational research demonstrates that subordinates need permission, authority, resources, and other kinds of support from superiors in order to be able to do their jobs. "Superior-subordinate communication greatly influences the manner with which individuals approach tasks. Achieving organizational goals depends on effective superior-subordinate communication" (Herndon & Kreps, 1993, p. 3).

The effectiveness of a manager, at least in part, lies in his or her ability to influence others to modify their plans and schedules, support their plans and proposals,

provide resources to accomplish new tasks, and provide relevant and timely information (Yukl & Falbe, 1990). This ability is essential to effective performance in the assistant principal position.

Working Managerial Relationships in the High School Context

While a good deal of current management literature advocates increased subordinate involvement and discusses how managers can promote it, little research has been done which examines this involvement from the subordinate point of view. There also appears to be a void in the research regarding how the subordinate can create a voice in the organization through the use of influence. This paucity of research is even more striking regarding high school assistant principals. A review of the research reveals no studies which discuss upward influence processes in secondary school settings.

While there are studies connecting upward influence behaviors to gender differences (Carli, 1990; Offerman & Kearney, 1988; Offerman and Schrier, 1985; Simkins-Bullock and Wildman, 1991; Steffen and Eagly, 1985), no studies have examined this relationship in the context of a secondary school.

Upward Influence in the Principal /Assistant Principal Relationship

There are at least four reasons why high school assistant principals need to exert upward influence to adequately perform their roles. First, one of the most important elements for personal success in any organization is the ability to influence others in the work place (Yukl & Falbe, 1990). School employees, like employees in any organization, are constantly vying for scarce resources both inside and outside the building. The assistant principalship usually embraces a tremendous variety of

functions, responsibility for these functions is often shared with other staff members (Calabrese, 1991; Hartzell, 1993; Marshall, 1992; Pellicer & Stevenson, 1991). The combination of function variety and shared responsibility makes it difficult for an assistant principal to advance, or even become part of, strategic decisions.

Second, research indicates that the assistant principal (AP) has an immediate and continuing need for skills of persuasion (Hartzell, et. al, 1995, p. 157). The AP occupies what Likert (1961) refers to as a linking-pin position. The AP is, in some fashion, responsible for supervision of students, and in most cases, some portion of the faculty. At the same time, the AP is responsible to the building level principal. This linking-pin position places the AP in a locale where influencing the principal is a prerequisite to adequately performing the duties of the position.

Third, the AP competes with a variety of interests for the attention of the principal. The typical principal spends 25 % of the day completing the paper work inherent in the position, ten percent of the day is spent on the telephone or intercommunication system, and the remaining 65 % of the day is spent in face-to-face encounters with a variety of constituents of the school (Webb, 1985). This certainly suggests that the assistant principal should make the most of the precious amount of time spent with the principal. This time is even more precious when the demands of the assistant principalship are factored in. Like the principal, the AP has a day filled with many obligations. Less like the principal, the AP rarely knows where the next issue is coming from, only that it will probably require immediate attention (Calabrese, 1991; Marshall, 1992).

Finally, APs are involved with a variety of points of view and intense people

contact. Marshall (1993) contends that an AP also frequently has a much broader base of information regarding matters at the school than does the principal. It is essential for the school organization that *this information be utilized in a productive manner.*

Effective communications from AP to principal increase the odds that information and personnel are used in the most productive manner. In Marshall's 1993 work, APs suggested that their success or failure was tied to the communication line to the principal. This certainly includes their capacity to influence the principal.

The principal and AP share many duties and responsibilities (Pellicer and Stevenson, 1991). The AP's role is limited to the perceptions and preferences of the principal unless the AP can influence the principal in a manner which allows for helping, or sharing, in the creation of that vision.

The current research literature base is silent regarding the selection of influence tactics by secondary school assistant principals. Adding to this problem is the fact that while research has been conducted in the area of gender differences and in the area of influence tactic selection, only previous work has brought the two pieces together, and none has done so in a school setting. Including consideration of the high school setting as part of the context for the study further limits what has been done in this area.

Purpose of the study

The purpose of this survey study was to (a) identify influence practices employed by high school assistant principals; (b) to assess what impact, if any, gender may have upon the selection of tactics; (c) to assess what impact, if any, age has upon the selection of tactics; (d) to assess what impact, if any, the number of assistant principals in a building has upon the selection of tactics; and (e) to assess what impact,

if any, experience level has upon the selection of tactics.

Significance of the Study

Implications for Practice

An assistant principal's ability to successfully fulfill the responsibilities of his or her job is, at least in part, tied to the communication line to the principal (Marshall, 1993). If the success or failure of the AP hinges on this line of communication, it seems a deeper understanding of this process would be beneficial. More research is needed to allow APs to know which upward influence tactics are utilized or even available. Performance appraisals may well be tied to an AP's ability to influence the superior responsible for the appraisal. The perception of whether or not the AP has good communication skills may even be tied to his or her persuasive prowess (Wayne & Liden, 1995).

This study will also provide additional knowledge regarding the high school assistant principalship and the work behaviors of those who hold the position, another area which has not yet been adequately studied and defined. The findings may have implications for pre-service and in-service training for administrators.

Implications for Research

While there has been a large amount of research done on upward influence processes in the private sector (Keys & Case, 1990; Kipnis, Schmidt & Wilkinson, 1980; Krone, 1992; Marwell & Schmitt, 1967; Miller, Boster, Roloff, & Seibold, 1977; Yukl & Falbe, 1990) very little has been done in educational settings.

A significant aspect of this study is that it will be extending research to include consideration of the contexts and environments in which theories regarding upward

influence tactic use have been researched. This study will demonstrate whether existing theories hold up in educational settings, something which has not yet been adequately researched. The question is worthwhile because organizational research has identified important differences between educational organizations and other types of organizations (Cohen & Olson 1996).

Method of Study

This study was done within a quantitative framework, using descriptive research statistics generated from survey results. The survey was based in the Influence Behavior Questionnaire (IBQ) developed by Yukl and Falbe in 1990. Surveys were sent to 127 high school assistant principals in the State of Nebraska. Ninety two, or 72%, useable surveys were returned.

Limitations of the Study

First, because high schools are larger and more complex organizations, assistant principals are a much more common presence in high schools than in elementary schools, middle schools, and junior high schools. Additionally, the organization and values of high schools differ from those of other levels. As a result, the functions and behaviors of administrators also vary from level to level (Wilson, Heriott, & Firestone, 1991; Wimpleberg, Teddlie, & Stringfield, 1989). In order to reduce environmental variables that might lead to erroneous conclusions, this study focused only on the high school assistant principal, and not on assistant principals in general.

Second, as with all studies employing self-reported data, caution should be exercised in interpreting and applying the results (Waltman & Burlison, 1997A).

Third, in addition to the favoritism shown for significant results, the field is also affected by a bias regarding item desirability. Waltman and Burleson (1997A), for example, showed that teachers over-report their use of prosocial classroom strategies while simultaneously under-reporting their use of antisocial strategies. This results, Waltman and Burleson argue, in “systematically biased information about the compliance-gaining behaviors [the study] intended to address” (p. 88).

Definition of Terms

High School. For the purposes of this study, a “high school” is any Nebraska school which is listed as a high school by the Nebraska Department of Education in the 1996-97 edition of the Nebraska Education Directory.

Influence. The process by which people successfully persuade others to follow their advice, suggestions, or orders (Keys & Case, 1990, p. 39).

Pressure. The person uses demands, threats, frequent checking or persistent reminders to influence the target you to do what he/she wants (Yukl & Falbe, 1990, p. 7).

Personal Appeals. The person appeals to the target’s feelings of loyalty and friendship toward him or her when asking the target to do something.

Exchange. The person offers an exchange of favors, indicates willingness to reciprocate at a later time, or promises the target a share of the benefits if he or she assists in the accomplishment of a task.

Coalition Tactics. The person seeks the aid of others to persuade the target to do something, or uses the support of others as a reason for the target to agree also (Yukl & Falbe, 1990, p. 7).

Ingratiation. The person seeks to get the target in a good mood or to think favorably of him or her before asking the target to do something (Yukl & Falbe, 1990, p. 7).

Rational Persuasion. The person uses logical arguments and factual evidence to persuade the target that a proposal or request is viable and likely to result in the attainment of task objectives (Yukl & Falbe, 1990, p. 7).

Inspirational Appeals. The person makes a request or proposal that arouses enthusiasm by appealing to the target's values, ideals, and aspirations, or by increasing your confidence that he or she can do it (Yukl & Falbe, 1990, p. 7).

Consultation Tactics. The person seeks the target's participation in planning a strategy, activity, or change for which his or her support and assistance are desired, or is willing to modify a proposal to deal with the target's concerns and suggestions (Yukl & Falbe, 1990, p. 133).

Legitimizing Tactics. The person seeks to establish the legitimacy of a request by claiming the authority or right to make it, or by verifying that it is consistent with organizational policies, rules, practices or traditions.

The Research Questions

With the above limitations in place, and the above definitions employed, this study was guided by the following research questions:

Question 1. Do high school assistant principals employ the same tactics in attempting to influence their principals that subordinates in private sector organizations employ when they attempt to influence their superordinates?

There is research evidence that public sector educational organizations are fundamentally different from private sector organizations. If this is indeed the case, then these differences might be reflected not only in overall structural, and operational dimensions, but also in the organization's culture, in relations between members at each level of the hierarchy, and in individual organizational behaviors.

Question 2. Do male and female high school assistant principals differ in their utilization of upward influence tactics?

There is research evidence that males and females communicate in different ways in organizational settings. Educational management has long been a male dominated domain. Today, however, many females have entered into educational management. Differences in communicative styles may well have an impact on the organization's culture and certainly in relations between organizational members.

Question 3. Do the upward influence tactics employed by high school

assistant principals vary with the number of assistant principals in the school?

The culture of a small organizational setting is different than the culture of a large organizational setting. In schools, more APs generally equates to a larger school. Based on organizational size, or in this study, number assistant principals, the selection of influence tactics may be impacted. It is important from a relational standpoint for the principal to understand how APs will attempt to influence and important for the APs to understand how to influence the principal, and in turn how their influence will affect the culture of their building.

Question 4. Do upward influence tactics employed by high school assistant principals vary with the length of time one has been an assistant principal?

Research suggests that selection of influence tactics change as relationships change. One factor in the working relationship between and AP and a principal could be the career goal of the AP. If an AP is new to school administration, or if an AP is a veteran and deciding on a career path beyond the AP ranks, or if the AP is a career AP the circumstances surrounding selection of influence tactics may well vary.

Question 5. Do upward influence tactics employed by high school assistant principals vary with the length of time a given assistant has worked with a given principal?

Relationships develop and take on a different set of dynamics over time.

Those relationships may well determine what tactics are acceptable to the relationship, let alone to the organizational setting.

Question 6. Do influence tactics employed by high school assistant principals vary with the relative ages of the given assistant and the given principal? That is, do assistant principals working with principals younger than themselves use different tactics than assistants working with principals older than themselves?

There is a cultural respect factor when it comes to working with someone who is different than yourself in terms of age. Much like Question 5, the relationship formed between the principal and the AP will be impacted by the difference in the ages of the two individuals.

Theoretical Perspective

Social Exchange Theory provides the theoretical foundation for this study.

Many associations present in every day life arise from a social exchange.

Social exchange is the give and take inherent in relationships. Social exchange theory involves the concept of reciprocity (Graham & Organ, 1993): the notion that one good deed deserves another; one should give as good as one gets. Social exchange is value neutral. The exchange could be returning a favor due to a feeling of obligation or could take on a negative connotation of punishment.

In organizations, social exchange theory suggests that people who are well treated will work harder and be more productive for the organization. Rewards or incentives are common examples of exchange for a job well done.

Exchange theory may inform the influence practices of high school APs. Coordination in an organization is achieved through the exchange of ideas as well as through formal organization (Peabody, 1964). That is, people enter into a relationship expecting to give and to receive (Graham & Organ, 1993). This expectation is alive and well in the relationship formed between principals and assistant principals.

Chapter 2

REVIEW OF LITERATURE

There are five areas in the research literature relevant to this study. Taken together, they provide a structure and rationale for the research questions. Individually, they are:

1. The context of the high school assistant principalship.
2. Social exchange theory, which is one foundation for research in upward influence.
3. Strategic choice theory, which is another foundation for research in upward influence.
4. The identified tactics of upward influence.
5. The effects of gender on the choice of upward influence tactics.

The Context of the High School Assistant Principalship

Research on the high school assistant principalship indicates a work position that has no universal job description, but is universally regarded as important in the smooth functioning of a school. The assistant principal is involved in virtually every aspect of the school's operation, and is frequently regarded as the person who knows the most about what goes on in the school. The pace of the job is hectic, and the assistant principal is often unable to anticipate the next immediate area of concern. He or she is also frequently unable to map out a day's work and execute it as planned (Hartzell, 1993; Hartzell et al., 1995; Reed & Himmler, 1985).

A 1970 study conducted by Austin and Brown surveyed assistant principals regarding 59 duties in six categories. The six categories were: (a) school management,

(b) staff/personnel, (c) curriculum and instruction, (d) community relations, (e) student activities, and (f) pupil personnel.

Their study covered over one thousand assistant principals in schools with populations ranging from 500 to 2500. They found that the assistant principal is involved in virtually every aspect of the operation of the school. Chief among the duties were the tasks of student discipline and attendance. Their findings have also proven to be not only a good indicator of the roles and responsibilities of assistant principals in 1970, but also an accurate assessment of the current roles and responsibilities of assistant principals.

While assistant principals are involved in many school tasks, they are rarely given full responsibility for a task (Austin & Brown, 1970; Hentges, 1976). Assistant principals generally work on tasks in conjunction with the principal or other school personnel.

Several studies have been conducted regarding the role and responsibilities of the assistant principal (Austin & Brown, 1970; Hentges, 1976; Pellicer et al., 1988; Reed & Himmler, 1985; Stoner & Voorheis, 1981). These studies have consistently shown the role of the assistant principal to be centered around the stability of the school. The day-to-day operation of student services, particularly attendance and discipline, makes up a substantial portion of the assistant principal position. Reed and Himmler (1985) contend that the assistant principal is the main figure in stabilization of the school. They define the school's organizational stability in two domains: (a) curricular and (b) extra-curricular. The curricular domain consists of the master schedule, the extra-curricular domain consists of activities taking place outside

of the school day.

The master schedule demonstrates a domain dictated by both state and local school boards. The curricular domain has set rules which are the result of laws. This is represented by the master schedule in the school. The assistant principal is often given the task of creating the master schedule.

Reed and Himmler (1985) contend that the extra-curricular domain reflects the goals and values of the community. This is represented best in the school's activity calendar which provides for social events deemed appropriate by the community. Using the identified domains as a framework, Reed and Himmler examined the work days of assistant principals.

Six of the eight assistant principals studied reported a substantial involvement in the development of both the master and activity calendars. This implies a large involvement in at least the initial establishment of organizational stability.

Six of the eight assistant principals also reported spending a majority of their time on student supervision. They defined three areas in supervision: monitoring, support and remediation. Monitoring was defined as a physical presence among students, leading to frequent, short interchanges. Support was seen as being a part of activities, talking to students, being around and demonstrating concern for them. Support also included casual conversation, conferencing, and counseling. Remediation, the third component in supervision, was viewed as the disciplining of students.

Pellicer et al. (1988) conducted a study of assistant principals commissioned by the National Association of Secondary School Principals. With one exception, Pellicer

and his associates used the same six categories as Austin and Brown (1970). The category labeled "Pupil Personnel" in the Austin and Brown study was changed to "Student Services" in this study. Pellicer et al. (1988) also expanded Austin and Brown's 59 duties to 65. The value of these studies done nearly two decades apart is that they show that the position of assistant principal has remained fairly constant since 1970. It appears that the biggest change in the office has been an increased involvement in instruction leadership, but the job remains primarily focused on issues of student discipline and attendance.

There is, however, an emerging trend in which the AP is increasingly sharing in the principalship (Calabrese, 1991; Marshall, 1993). While the AP has certainly not let go of the disciplinarian role, the scope of the role is expanding to include some varying measure of activity as an instructional leader, community relations agent, innovator, and change agent.

Assistant principals require a great deal of support from, and exhibit substantial reliance upon, others in the organization (Calabrese, 1991; Hartzell et al., 1995; Marshall, 1993). This reliance on others increases the need for the assistant principal to exercise influence in the position.

Having the ability to influence is important for at least three reasons. First, assistant principals compete against a wide array of constituents to claim the interest of the principal (Webb, 1985). Second, tactics used to sell an issue are critical in determining the probability that it will be bought or even considered (Mowday, 1978). Third, a school's success in adapting to change may depend upon its capacity to discover and explore a process that enables an individual outside of top management to

be involved effectively in the identification and communication of important issues.

Social Exchange Theory

Many associations present in every day life arise from a social exchange. Social exchange is the give and take inherent in relationships. Social exchange is mainly anchored in the notion of reciprocity (Graham & Organ 1993).

Social exchange gives rise to feelings of loyalty and devotion, and reinforces attachment. The reciprocating nature of social exchange can also lead to feelings of obligation as attachment levels increase. These feelings can have a significant impact on whether an influence tactic will be used, and if used, whether it will be successful (Graham & Organ, 1993).

The notion of obligation as a form of influence was examined in a lab study by Roloff, Janiszewski, McGrath, Burns and Manrai (1988). They investigated what effects level of intimacy had on compliance to different degrees of requests. Students were asked to respond to a request from either a friend, acquaintance, or stranger. Participants were supposed to look at a member of the class and imagine they were going to ask to borrow the classmate's notes for either one half hour or for three days.

The findings suggest obligations inherent in interpersonal relations may substitute for elaborate persuasion attempts. In the more intimate relationships, a simple direct request often serves as the choice for persuasion. The study found that when resistance to a request is anticipated or encountered, persuasive appeals will take place. These appeals generally take on a rational, logical approach. When people experience a resource deficit, they must find who it is they need to influence.

The Roloff et al. (1988) study is limited by the self-report nature of the research

as well as by the limited situational elements. The intimacy issue is also a factor. Attempting to find a true friend in a class is not always possible. Also, this is not a field study and there is certainly no long term investment in the outcomes. Asking a classmate for notes is certainly not a sizable request. This leaves the relational aspect of compliance-gaining situations open and in need of further study. Roloff and Janiszewski (1989) and Jordan and Roloff (1990) confirmed the findings of the 1988 study. The key in all cases is that intimacy is correlated with obligation. Although these studies were done in interpersonal relations settings, they hold implications for organizational behavior as well. For example, one could assume relationships formed in the organization would follow similar patterns and rules. This gives rise to questions regarding relationships and exchanges and their subsequent impact on influencing and communicative strategies in organizational settings.

Strategic Choice Models

Much of the work in the area of compliance-gaining can be viewed as involving the “strategic choice model.” Seibold et al. (1994) named this model after reviewing studies in the compliance-gaining field. The strategic choice model includes work which focuses on a “person’s selection, construction, and/or enactment of the most optimal among communication strategies considered appropriate for achieving instrumental objectives” (p. 544).

The studies in this model make several assumptions. These assumptions include:

- * the agent has a conscious awareness of the influencing situation;
- * the agent has the time and ability to choose among the influencing tactics

available;

- * the agent has an understanding of the consequences attached to influence attempts as well as a repertoire of tactics from which to choose (Seibold et al., 1994).

Several studies have identified a variety of tactics to facilitate the influencing process. The list of tactics has numbered as many as 131 (Marwell & Schmitt, 1967) or as few as four (Krone, 1992). Representative of the major work in the area of influence were two studies done in 1980 by Kipnis, Schmidt and Wilkinson. The first study focused on the goal or outcome sought from the target person, and the second focused on the selection of the influence tactic.

Study one was carried out with the help of graduate students in a lab setting. These students were asked to describe an influence incident which resulted in success. It was left to the discretion of the respondents as to whether the influence attempt would take place with a peer, subordinate, or boss. Five general goal categories emerged: (a) to secure assistance with own jobs, (b) to get others to do their job, (c) to obtain benefits, (d) to initiate change, and (e) to improve performance.

Respondents most often chose self-interest goals when attempting to influence the boss, followed by attempts to initiate change. Findings from this study suggest that tactic choice in an influence attempt is associated with what the respondent is trying to gain, the amount of resistance encountered in the influence attempt, and the power of the target.

The second study had respondents complete a questionnaire. The questionnaire consisted of 58 items developed from tactics identified in the first study. These were

clustered into eight interpretable factors for influencing others: (a) assertiveness, (b) ingratiation, (c) rationality, (d) exchange of benefits, (e) blocking, (f) sanctions, (g) upward appeal, and (h) coalitions. Further results will be examined later in this paper in summary form with a detailed description of the tactics and their probable directional use as noted across studies. This study established a framework for many to replicate, validate and extend upon in the years since 1980.

Not everything Kipnis et al. (1980) identified was new. Miller, Boster, Roloff, & Seibold (1977) had pinpointed “liking” - which is a synonym for “ingratiation” - three years earlier. Moreover, the work of Miller and his associates had suggested that certain tactics were more likely to be used in one certain situation than in another.

Miller et al. (1977) also set up a study which looked at influencing typologies and situational differences in the choice of tactic selection. Respondents in this study were given scenarios and asked to respond to the likelihood they would use certain compliance-gaining tactics. The scenarios were set up to examine how interpersonal and non-interpersonal encounters affected the compliance-gaining strategy chosen. The study also utilized short-term and long-term situations as variables in the study.

Findings in this study showed that of 16 different tactics available, only liking had a high probability of being used in all situations. Tactics with positive connotations were found more likely to be used in interpersonal situations whereas noninterpersonal situations were likely to have a logical argument as the tactic of choice. This study strongly suggests there needs to be a situational emphasis when examining personal influence attempts.

While this research made significant contributions to the study of interpersonal

influence, it had some obvious limitations. The methods included self-report data which make it difficult to know whether what one says he will do is actually what he would do. Also, the four situations given to respondents leave room for debate as to the interpersonal or noninterpersonal meaning in the content of the statement. The issue of relational closeness is considered, yet not clearly defined. Again, relational factors could very well be part of the situational differences which affect compliance-gaining strategy choice and which warrant further study as suggested by Miller et al., (1977).

The Kipnis et al. (1980) study also had some limitations. First, the data was self-reported which raises validity questions. Second, as other research works have revealed, eight factors by no means represents a complete list of available tactics used in influence settings. This may well be a limitation of any study done in a self-reported manner. Another limitation in the study is the lack of attention to relational situations between agent and target.

The 1980 Kipnis et al. research served as a springboard for several studies on influence in the following fifteen years. The upward-influence portion of Kipnis' et al. work was validated in a 1990 replication study by Schriesheim and Hinkin. While Kipnis et al. looked at multi-directional influencing, Schriesheim and Hinkin concentrated only on upward-influence. Their research showed general support for the Kipnis et al. influence tactic typology. Schriesheim and Hinkin also state that it would be useful for further research to replicate the Kipnis et al. study. The replication would help the validity of their findings.

Yukl and Falbe (1990) contributed to the body of research on the strategic choice model. This study extended the work of Kipnis et al. in two ways: (a) by

changing the questionnaire used in the previous study, and (b) by including the response of the target of the influence attempt. Yukl and Falbe believed the 1980 work to be incomplete in terms of strategies. They included two additional strategies in the new questionnaire. These items were inspirational appeals and consultation.

Yukl and Falbe employed methods very similar to those Kipnis et al. had used. Respondents were once again graduate students and the data was self-reported. Results in this study supported the 1980 work of Kipnis et al. The addition of the consultation and inspirational appeals as influence tactics filled a gap in the Kipnis study, suggesting that consultation and inspirational appeals were important additions to the list of influence tactics.

Another interesting discrepancy between the Kipnis et al. study and the Yukl and Falbe study is that the direction of influence was not found to be as important as Kipnis et al. had previously determined. There was, however, a tremendous similarity in the frequency rankings for influence tactics: Yukl and Falbe state “The big story is not directional differences but rather the discovery that some tactics are used more than others, regardless of whether the target is a subordinate, peer, or superior” (p. 139). What they did not investigate was whether the subordinate, peer, or superordinate was of the same or opposite gender.

Influence Tactics

Influence, say Keys and Case (1990), is “simply the process by which people successfully persuade others to follow their advice, suggestion, or order” (p. 39). To truly study the concept of influence, it is imperative to begin to operationalize the term. The idea of identifying influence tactics has been tackled by a number of researchers. Researchers have reached some consensus on the meanings of the various terms they use to describe influence processes.

Rational Persuasion

The influence tactic which appears to be most effective in influencing superiors is rational persuasion (Chacko, 1990; Keys & Case, 1990; Kipnis et al., 1980; Mowday, 1978; Yukl, Falbe, & Youn, 1993; Yukl & Falbe, 1990; Yukl & Tracey, 1992). Yukl et al. (1993) defined rational persuasion as follows: “The agent uses logical arguments and factual evidence to persuade the target that a proposal or request is viable and likely to result in the attainment of task objectives” (p. 7). Keys and Case (1990) extend that definition, stating that rational explanations generally include a presentation of a complete plan, a comparative or quantitative analysis, or documentation of an idea or plan by way of survey, incidents, or interviews.

This tactic can be used for a simple request where further information must be gathered before a decision is made, or it can be very formal and detailed. Yukl et al. (1993) describe it as a first attempt at influence, especially when looking for compliance rather than commitment. This is often the initial tactic utilized in an influence attempt. One of the reasons for the widespread use of this tactic is that it is socially acceptable to appear rational (Keys & Case, 1990). Schilit and Locke (1982) showed that

subordinates and supervisors agree that subordinates use logical presentations more than any other tactic in upward-influence attempts. This supports findings of Kipnis et al. (1980).

Ingratiating Tactics

The tactic most consistently appearing in the literature is ingratiation.

Ingratiation as a tactic appears in studies conducted by Brass and Burkhardt (1993), Deluga and Perry, (1994), Kipnis and Schmidt (1988), Kipnis et al. (1980); Yukl & Falbe (1990); Yukl, Falbe & Youn,(1993); Yukl & Tracey (1992). Yukl et al. (1993) define ingratiation as follows: “the agent uses praise, flattery, friendly behavior, or helpful behavior to get the target in a good mood or to think favorably of him or her before asking for something” (p. 7).

The research on the importance of ingratiation is mixed. Kipnis et al. (1980) showed that ingratiation is used as an influence tactic in an upward fashion, but not to the extent that it is used in lateral or downward-influence attempts. Kipnis also noted that ingratiation was used second most often in influencing in an upward direction, yet its effectiveness is inconclusive. Yukl and Tracey (1992) supported the finding in terms of frequency but not in terms of effectiveness. Yukl and Tracey (1992) noted that ingratiation was effective with subordinates and peers, but ineffective with superiors.

These varying research findings would tend to make one wary of utilizing the tactic of ingratiation with a superior. Before abandoning ingratiation as a viable influence tactic, further investigation should be made. First of all, it should be noted that ingratiation is an incremental tactic. That is to say, it is a tactic which serves as a

foundation for future requests. Ingratiation in this context would be very difficult to measure. Secondly, there is research which suggests that subordinate ingratiation leads to a higher quality of exchange with superiors (Deluga & Perry, 1994; Dunegan, Duchon & Uhl-Bien, 1992; Krone, 1994; Scandura et al., 1986; Wayne & Green, 1993). This finding alone suggests its importance.

Influencing is rarely a one shot occurrence. Ingratiation is generally used in the first attempt to influence. Further attempts mean that there was at least some resistance to the initial attempt. Ingratiation in subsequent attempts would rarely be taken as sincere and the initiator of the attempt would probably lose credibility with the target (Kipnis et al., 1980).

Coalition Tactics

In the use of coalition tactics, the agent seeks the aid of others to persuade the target to do something or uses the support of others as a reason for the target to agree also (Yukl et al., 1993, p7).

Cialdini (1993) calls this the principle of social proof. That is to say, people often determine what they do as correct or incorrect based on what they see being done by those around them. Much of the reason for this phenomenon is that people simply do not have enough time to assimilate all of the information that life throws their way. The principle of social proof often serves mankind well in terms of efficiency, but can also get people into trouble, if they do not take the time and energy to sift through information.

Coalitions are often used in an upward influence attempt since the person initiating the attempt may not have the power base to utilize other forms of influence.

Coalitions are most often used as a follow-up tactic after the target has already resisted a direct influence attempt by the agent (Yukl & Falbe, 1992).

The membership of the coalition is an important consideration. Kipnis et al. (1980) stated that when subordinates confronted resistant bosses, they showed a tendency to form coalitions with fellow employees.

Consequences of this tactic may be devastating if the initiator attempts to employ the use of the target's superior and the attempt does not work. Caution should be used in the formation of coalitions due to the implications of a failed attempt (Izraeli, 1975).

Upward Appeals

This tactic is similar to coalitions; the significant difference is that the upward appeal tactic forms coalitions with superiors. Mowday (1978) showed that coalitions are often the tactic of choice in strategic decisions where direct-line, rational persuasion either could not or would not be expected to work. Particularly in larger organizations, coalitions are formed via bypassing superiors and aligning with the superior's superior in order to increase the likelihood of a successful influence attempt Schilit (1987).

Pressure Tactics

Yukl and Falbe (1990) define pressure tactics as using "demands, threats, or intimidation to convince the target to comply with a request or to support a proposal" (p. 133). Kipnis et al. (1980) termed pressure tactics as "assertiveness," defining it to include demanding, ordering and setting deadlines. Chacko (1990) extends that definition, noting that assertiveness may also include the use of threats. Research on this particular item is very thin and other data are possibly masked under other names or

included in other strategies, complicating attempts to put these strategies into typologies.

Consultation Tactics

Yukl and Falbe (1990) define consultation tactics as seeking participation in making a decision or planning how to implement a proposed policy, strategy, or change. This tactic is used to get people to be, or feel as though they have been, part of a decision. The idea is for people to accept a decision knowing they had a stake in its development or its implementation. Consultation is also an excellent way to achieve ownership in a decision-making venture (Kusy et al., 1994). The more ownership, the more likely the owner will fight for the idea.

Inspirational Appeals

In the early stages of research on influence, it was notable that few studies examined emotions and their importance on influence. Yukl and Falbe (1990) began to empirically test the effectiveness of inspirational appeals.

The agent makes a request or proposal that arouses target enthusiasm by appealing to target values, ideals, and aspirations, or by increasing target self-confidence (Yukl et al., 1993, p7). Yukl and Tracey (1992) found that this tactic is generally more successful when used in a downward direction, but used in influence attempts in any direction, which helps to explain why it is not frequently discussed in upward influence studies. Yukl et al. (1993) and Yukl and Falbe (1990) also noted that inspirational appeals are used most often in a downward direction. The effectiveness of this tactic in any direction is still inconclusive.

Exchange Tactics

“I’ll scratch your back, you scratch mine” is a simple translation of “exchange tactics.” Yukl and Falbe (1990) define exchange tactics as “the person makes an explicit or implicit promise that you will receive rewards or tangible benefits as you comply with a request or support a proposal, or reminds you of a prior favor to be reciprocated” (p. 133). This tactic is similar to negotiations found in other studies (Offerman & Kearney, 1988; Offerman & Schrier, 1985). It relies heavily on the rule of reciprocity.

An early study by Regan (1971) laid out the shape of the concept. Regan paired two individuals to rate art work at a local gallery. One of the individuals was a confederate of the researcher. After beginning the process, the confederate slipped away and later returned. The study was carried out with one deviation in the behavior of the confederate. With one group he returned with a soda for both himself and the other individual. With a control group, he returned with nothing in hand.

Later in the day, the confederate asked the fellow art rater if he would buy a raffle ticket from him. The confederate was much more successful in his attempt to sell tickets to those for whom he had brought the sodas. Twice as many tickets were sold to those individuals who had been offered a previous favor. The exchange, in this instance, was the purchase of raffle tickets due to a sense of obligation brought on by the acceptance of an unsolicited favor.

Legitimizing Tactics

Legitimizing tactics are when “the agent seeks to establish the legitimacy of a request by claiming the authority or right to make it or by verifying that it is consistent

with organizational policies, rules, practices, or traditions” (Yukl et al., 1993, p.7). This tactic coincides with French and Raven’s (1959) power base of authority. This implies that decisions can be made on the basis of position.

The power of position is often a very powerful influence tactic as demonstrated in Stanley Milgram’s classic 1974 study. Milgram’s subjects believed they were involved in a study of how punishment affects learning and memory. The incident involved the researcher and two participants, one of which was a confederate. The confederate would answer questions while the person being studied initiated apparent shock treatment to the confederate whenever he delivered an incorrect answer. The apparent severity of shock was increased as the experiment progressed. In some cases it appeared that the shocks were mildly uncomfortable; in others there was the appearance of very intense pain.

The findings of this study were interesting. Two-thirds of the individuals used as objects of study were willing to give the maximum amount of shock until the researcher ended the experiment. The reason for this was they thought it would be all right since the authority, a world class Yale University Psychology Researcher, had given them permission.

Gender Communication

The concept of influence in the working environment would be incomplete without looking at the communicative differences, or perceived differences among male and female employees. Separate studies have shown that there is a difference in the way males and females communicate.

Several studies have focused on the impact of gender in the influencing process

and gender (Carli, 1990; Offerman & Kearney, 1988; Offerman & Schrier, 1985, Simkins-Bullock & Wildman, 1991; Steffen & Eagly, 1985).

Offerman and Schrier (1985) found men and women differed in their selection of influence tactics in organizational settings. Women were more likely than men to choose tactics which involved exchange, whereas men were more likely than women to choose a coercive tactic. These differences may have to do with status differences between the genders.

Simkins-Bullock and Wildman (1991) discovered that an individual's status affects whether or not he or she is more or less likely to be forceful in communication style. The more status one has, the more likely that individual is to be assertive or forceful in communication with others.

Steffen and Eagly (1985) found that status was a major contributor to differences in influence tactic selection. The significance of this finding may or may not extend into the gender picture. There is contradictory evidence as to whether males and females are status equals (Simkins-Bullock & Wildman, 1985; Steffen & Eagly, 1991).

Carli (1990) found that the speech pattern of women is affected by their status. She found women to be more tentative in their speech when they were interacting with men. When men and women were of equal status, the tentative nature of women's communication still existed; attributable, Carli suggests, to a perceived lower status of women.

When women speak with men, men are influenced to a greater degree by women who speak more tentatively. Men are less influenced by women who speak

more assertively. According to Carli, this implies that it may be important for a woman not to behave too competitively or assertively when interacting with men in order for her to wield any influence. Carli goes on to say that at times it is better for a woman to run the risk of appearing incompetent rather than of being perceived as too assertive.

Finally, Carli found that while the use of a tentative speech style actually enhanced a woman's chances of successfully influencing a male, it reduced the likelihood that a female would successfully influence another female.

Offerman and Kearney (1988) found evidence similar to Carli's. Looking solely at Carli's work would lead one to speculate that men and women have different communicative preferences in style and influence. Offerman and Kearney contend that over time, women and men appear to have consistent preferences. They did find, however, that one's own sex affects what type of influence tactic a person will choose to use.

Another interesting Offerman and Kearney finding is that the sex of the supervisor influenced the choice of the influence tactic considered for use. The sex of the subordinate was not as important as the sex of the supervisor in terms of deciding which influence tactic was chosen.

Employees interacting with a female supervisor may choose a different influence tactic than an employee interacting with a male supervisor. The results of their 1988 study indicated employees of both sexes were less likely to use rational persuasion or exchange with a female supervisor. Female employees were more likely to use these two tactics than were male employees. However, both sexes are less likely to use these tactics with a female supervisor. These employees were also more likely to

withdraw from the conflict than were employees with male supervisors.

Another finding of the Offerman and Kearney (1988) study is that female supervisors may be perceived as being less open to subordinate influence than male supervisors. This is contradictory to the stereotype that would hold women as more influenceable than their male counterparts.

The final point to be made here from the Offerman and Kearney (1988) study is that their results indicate that supervisor's sex and subordinate's sex may affect a subordinate's likelihood of choosing a particular influence tactic in a work situation. This is consistent with findings advanced by Carli (1990) and Simkins-Bullock and Wildman (1991). Simkins-Bullock and Wildman hypothesize that this difference stems from the perception that men are viewed as more powerful than women.

Conclusions

The relationship between the boss and the subordinate is important. Because of this importance, there is a need for research on these relationships. Some strong research exists in this area, but it is far from comprehensive or conclusive.

Upward influence is a significant part of that relationship. Because upward influence is a part of that relationship, there is a need for research on its processes. Again, some strong research in this area exists, but it is far from comprehensive or conclusive.

The boss/subordinate relationship is exemplified by the principal/assistant principal relationship in the high schools. Because of the importance of administrative leadership in school, there is a need for research on the dynamics of this relationship. Only minimal research has been done on this relationship to date.

There is virtually no research beyond Mowday's on the processes of upward influence in school settings; none specifically in high schools; none on assistant principals. Therefore, this study will contribute to filling this gap and will have implications for both research and practice.

Chapter 3

METHODS

Purpose of the study

The purpose of this survey study was to (a) identify influence practices employed by high school assistant principals; (b) to assess what impact, if any, gender may have upon the selection of tactics; (c) to assess what impact, if any, age has upon the selection of tactics; (d) to assess what impact, if any, the number of assistant principals in a building has upon the selection of tactics; and (e) to assess what impact, if any, experience level has upon the selection of tactics.

Quantitative Framework

Data Collection

Data regarding the use of upward influence tactics was done by survey. A survey is a method of collecting information directly from people regarding their feelings, motivations, plans, beliefs, and personal, educational, and financial background. Surveys are appropriate when information needs to come directly from an individual or individuals (Fink & Kosecoff, 1985).

The survey instrument was sent to every high school assistant principal with a cover letter containing an invitation to participate in the study and instructions for survey completion. A stamped, self-addressed envelope was included in the mailing so respondents could return the completed surveys with minimum inconvenience. A follow-up letter was sent to those APs who did not respond in the first two weeks.

Population Sample

I surveyed all of the identifiable high school assistant principals in the State of

Nebraska. The 1996-1997, Nebraska Department of Education School Directory shows a total of 127 assistant principals in Nebraska High Schools. The survey was limited to high schools because of structural, organizational and operational differences between high schools, elementary schools, middle schools, and junior high schools.

There are substantial and significant differences between high schools and elementary schools. As Michael Fullan (1990) puts it: "Secondary schools are more complex and address a wider range of goals and agendas than do elementary schools. . . [and] contain many more structural and normative barriers to organizational change." A sampling of research done on high schools confirms Fullan's position. High schools and elementary schools differ in organizational structure, in goals, and in the characteristics of personnel;

- High schools are larger than elementary schools (Boyer, 1983).
- High schools are departmentally organized around specific areas of study, with very little inter-disciplinary activity, and this creates a culture different from elementary schools (Boyer, 1983; McLaughlin, Talbert, & Bascia, 1990; McNeil, 1986; Siskin, 1991; Sizer, 1984).
- High school teachers are subject matter specialists to a much greater degree than elementary and middle school personnel (Bacharach, Bauer, & Conley, 1986; McLaughlin et al., 1990; McNeil, 1986; National Education Association, 1987; Siskin, 1991)
- High school teachers, administrators, and support staff are subject to different pressures and stresses than those of elementary and middle school personnel (Bacharach et al., 1986; Casanova, 1991; Gmelch & Swent, 1984; McLaughlin et al., 1990; McNeil, 1986)
- High school students have interests and goals different from those of younger students (Cusick, 1973; Sabini, 1992)
- High school students face challenges and problems different from those of younger students (Cusick, 1973; Sabini, 1992)
- High school students are engaged in differentiated courses of study, depending upon the organizational structures of their schools, and their own abilities,

interests, and post-secondary plans, unlike students in elementary and middle schools (Boyer, 1983; Sizer, 1984)

- High schools are at the end of the basic education chain, graduating students into society rather than into the next level of compulsory education; consequently they focus much of their attention on what the student will do, and be prepared to do, after the years of compulsory schooling have been completed (Boyer, 1983; Goodlad, 1984; Powell, Farrar, & Cohen, 1985).

Given these elements, research conducted in elementary schools frequently is not very helpful in understanding what goes on in high schools. Numerous studies in organizational structure, organizational and social psychology, communication, and leadership have demonstrated that the dynamics of an organization and the behaviors of the individuals who make it up are strongly influenced by the location, size, configuration, and goals of the organization, and by the skills, attitudes, and motivations of its people (e.g., Deal & Kennedy, 1982; Kolb, Rubin, & Osland, 1991; Lawrence & Lorsch, 1967; Van Maanen & Barley, 1984). "School" is not a definitive term; high schools are different from elementary schools and from each other. They require research that recognizes those differences. The fact remains, however, that the vast majority of educational research has been, and is currently being, done in elementary school settings and there are continual attempts to generalize its findings to high school settings (Firestone & Herriott, 1982a, 1982b; Herriott & Firestone, 1984; Stedman, 1987).

Instrumentation

The Influence Behavior Questionnaire (IBQ) was used to assess each assistant principals' influence tactic choice. The IBQ was developed by Yukl and Falbe for their 1990 study. Yukl and Falbe (1990) looked at three directional differences in influence attempts: upward, lateral, and downward directional influence. This study replicated only the upward influence portion of the study as Yukl and Falbe described it.

The Influence Behavior Questionnaire (IBQ) was developed to measure influence behaviors that are relevant for managerial effectiveness. Yukl and Falbe (1990) used several sources of ideas about relevant forms of influence behavior to include in the IBQ. They considered results of prior research on influence tactics and power, descriptions of successful influence episodes from the management literature, and descriptions of influence behavior in diaries and critical incidents collected in our own research. Four methods were used to identify relevant categories of influence behavior: (a) factor analysis and item analysis of questionnaires, (b) Q-sorts of influence behavior examples by subject matter experts, (c) revision of categories after experience with them in coding descriptions of influence attempts from diaries and critical incidents, and (d) examination of the outcomes of various tactics used by managers. (Clark, Clark, & Campbell, 1992, p. 418).

The IBQ was tested using the following analyses:

- factor analysis
- content validity
- internal consistency
- retest stability
- criterion related validity

The tests showed that:

- the IBQ tests influence behavior.
- the items on the IBQ are seen as relevant in defining examples of influence tactics.
- internal consistency is high or moderately high (ranging from .76 to .90) for all of the IBQ scales.
- retest stability is adequate for each scale (ranging from .64 to .85).
- there is a strong criterion-related validity for the nine scales.

The IBQ consists of 50 survey items and takes about twenty minutes to fill out.

The instrument has been validated across populations and is widely accepted in the field. Reliability was analyzed across each of the nine subscales once the survey had been tested on assistant principals.

In the Yukl and Falbe (1990) study, respondents were asked to report how they would describe an influencing behavior of either a peer or their boss. The original questionnaire was revised and shortened after a “variety of analyses, including factor analysis, item analysis, Q-sorts, and classification of items into predetermined scales by judges” (p. 133).

The Yukl and Falbe (1990) study gave two separate populations parallel

versions of the same instrument. The reason for the two instruments was that they were comparing targets and agents of influence attempts. The instrument was modified accordingly and given to the two differing populations. This study will look solely at the agent of the influence attempt.

The instrument utilizes the following options for respondents:

1. Never use this tactic under any circumstance
2. Seldom use this tactic (only once or twice a year)
3. Use this tactic occasionally (several times a year)
4. Use this tactic moderately often (every few weeks)
5. Use this tactic very often (almost every week)

Permission to use the IBQ was gained after contact with its author, Gary Yukl. Phone contact was made initially. Follow-up to the phone conversation was done through the mail. A permission form was sent from Gary Yukl. The permission form was filled out as requested. The form was then sent for the appropriate signatures and returned with permission to use. The permission form is included in Appendix G. Part of the agreement to use is that the IBQ will not be published in any form. Due to that stipulation, the IBQ is not available to see in this study.

Data Analysis

The data in this research describe the influence tactics chosen by current high school assistant principals. The analysis sought generalizations explaining those choices. It also examined the relationship between one dependent variable and five independent variables, and how the choice of influence tactics is affected by the interactions of these variables.

The dependent variable is the choice of tactic.

- The first independent variable is the gender of the AP.
- The second independent variable is the number of assistant principals working in the school.
- The third independent variable is the years of experience of the assistant principal.
- The fourth independent variable is the age of the assistant principal.
- The fifth independent variable is the relative ages of the assistant principal and his or her principal

The data received from the survey were analyzed for frequency in each of the nine categories. The data were also analyzed for differences in male and female responses, as well as for differences in responses from schools with one, two, or more than two APs.

This study compared the two samples with the general population, i.e., responses by gender of the assistant principal and by the three categories of AP school were compared back to the responses from the entire assistant principal population.

A score was calculated for each tactic. A composite score was then accumulated for each respondent on each tactic. The advantage in compiling the composite scores

was the applicability of parametric statistics once the scores were generated. These statistics were used to analyze data relating to research questions 2 and 3. An ANOVA was utilized to compare means on the composite scores. Statistics were compiled and reviewed at the NEAR Center on the University of Nebraska at Lincoln campus.

Expected Findings

Question 1

In regard to Question 1, it was expected that there would be a difference between assistant principals' reported use of influence tactics and the reported use of influence tactics by subordinates in private sector organizations. The research done by Cohen & Olson (1996), demonstrating differences in educational organizations and private sector organizations, is the basis for the expected difference.

Question 2

Offerman and Schrier (1985) found that men and women in organizational settings differ in their selection of influence tactics. Women are more likely to choose tactics which involve exchange than are men; men are more likely than women to choose a coercive tactic. Based on the review of literature, it was expected the data relating to question 2 would reveal that female assistant principals utilize ingratiating tactics, inspirational appeals, and coalition tactics more often than do their male counterparts.

Question 3

Schilit (1987) found differences in the way middle-level managers influence their superordinates related to the size of the organization. Based on a very limited literature, it was expected that the data relating to question 3 would indicate that

assistant principals in schools with more than two assistants utilize ingratiating tactics, inspirational appeals, and coalition tactics more often than assistant principals in smaller schools with fewer APs.

Question 4

In regard to Question 4, it was expected that tactic selection would vary with the length of time the individual had been employed as an assistant principal. This expectation was not research based, because there is no available research on which to base this supposition.

This expectation is the same for the variables of age addressed in Questions 5 and six. It was felt that there is reason to believe that experience and age would significantly affect the selection, or use, of influence tactics. It was expected the tactic of coalitions would vary because as experience is gained and age increases, there is more time to establish networks. As for the tactic of pressure, it was expected that over time there is less of a need for this as one develops the skills of persuasion.

Chapter 4

RESULTS

The fifty item IBQ survey was sent to all 127 assistant principals in Nebraska.. A total of 92 usable surveys were returned for use in the study. This is a response rate of 72%. This is a very good response rate according to Fink, & Kosecoff, (1985). Of the 92 surveys returned, 78 were returned on the first mailing request. Ten additional surveys were returned after a second mailing was sent to those assistant principals who did not complete the initial survey request. Finally, four surveys were returned after a third and final mailing request.

Table 1 indicates the gender of the principal with which the surveyed assistant principal works. The 92 assistant principals reported working for 86 male principals and six female principals. Respondents consisted of 72 males and 20 females (Table 2). The assistant principals ranged in age from 28 to 61 (Table 3). The assistant principals reported the ages of their principal to be between 30 and 62 (Table 4).

Value Label	Value Frequency	Percent	Valid Percent	Cum Percent
Male	86	93.5	93.5	93.5
Female	6	6.5	6.5	100.0
Total	92	100.0	100.0	
Valid cases 92	Missing cases 0			

Value Label	Value Frequency	Percent	Valid Percent	Cum Percent
Male	72	78.3	78.3	78.3
Female	20	21.7	21.7	100.0
Total	92	100.0	100.0	

Valid cases 92 Missing cases 0

Assistant principals were asked how long they had been working as assistants. Responses ranged from one year to 28 years with one missing variable (Table 5). Thirty three of the 92 respondents, or 36.3%, had three or Fewer years of experience as an assistant principal.

In response to a question concerning the length of time each assistant principal had been working with his or her current principal, assistant principals reported working relationships lasting from one year to 24 years with one missing variable (Table 6).

Of the 91 responses to this question, 45 assistant principals (49.5%) reported they had worked with their principals for three or fewer years. Respondents were asked if they worked as the sole assistant principal in their building, if they were one of two assistant principals in their building, or if they were one of more than two assistant principals in their building (Table 7). 29 respondents are the only assistant principal in their building, 25 respondents are one of two assistant principals in their building, and 38 respondents are one of more than two assistant principals in their buildings.

A reliability analysis was run for each influence tactic. Each influence tactic had

either five or six items within its scale. Alphas for the nine scale items, after items were deleted, ranged from 0.58 to 0.85 (Tables 9-17). A scale total was also run to check on the reliability of the instrument used for this study. The alpha for the scale total (Table 8) is 0.91. Since the alpha is already relatively high, and since deleting any item does not appear to raise the scale score substantially, caution was exercised in determining which, if any, items should be deleted from the scale.

Question ten was the only item deleted from the total scale. Question ten was deleted in large part because of its inverse relationship. Deleting question ten raised the alpha to 0.91. All of the other corrected item total correlation scores were positive and above zero.

A reliability analysis was run for each of the nine subscales. Items which were not reliable were deleted. Caution was again exercised in determining whether an item should be deleted. The first reason for caution was that each scale began with only five or six items. A second reason to delete an item was if the deletion of the item would make a substantial change in the alpha. Generally, a 0.05 increase in alpha was used as a screening criteria. The desired score for alpha reliability generally is set at 0.7 (Nunnally & Bernstein, 1994).

Table 3
Assistant Principal Age

AP Age	Frequency	Valid Percent	Cum Percent	Percent
28.00	2	2.2	2.2	2.2
29.00	2	2.2	2.2	4.3
31.00	1	1.1	1.1	5.4
32.00	1	1.1	1.1	6.5
33.00	1	1.1	1.1	7.6
34.00	2	2.2	2.2	9.8
35.00	2	2.2	2.2	12.0
36.00	5	5.4	5.4	17.4
38.00	2	2.2	2.2	19.6
39.00	3	3.3	3.3	22.8
40.00	2	2.2	2.2	25.0
41.00	5	5.4	5.4	30.4
42.00	3	3.3	3.3	33.7
43.00	3	3.3	3.3	37.0
44.00	10	10.9	10.9	37.8
45.00	3	3.3	3.3	51.1
46.00	4	4.3	4.3	55.4
47.00	9	9.8	9.8	65.2
48.00	5	5.4	5.4	70.7
49.00	4	4.3	4.3	75.0
50.00	7	7.6	7.6	82.6
51.00	2	2.2	2.2	84.8
52.00	1	1.1	1.1	85.9
54.00	2	2.2	2.2	88.0
55.00	1	1.1	1.1	89.1
56.00	1	1.1	1.1	90.2
57.00	1	1.1	1.1	91.3
58.00	3	3.3	3.3	94.6
59.00	3	3.3	3.3	98.8
60.00	1	1.1	1.1	98.9
61.00	1	1.1	1.1	100.0
Total	92	100.0	100.0	
Valid cases 92 Missing cases 0 Mean 44.90 Median 45.00 Mode 44.00				

Table 4
Ages of the Principals with Whom the Assistant Principals Work

Principal's Age	Frequency	Percent	Valid Percent	Cum Percent
30.00	3	3.3	3.3	3.3
34.00	1	1.1	1.1	4.4
35.00	3	3.3	3.3	6.5
37.00	1	1.1	1.1	7.6
39.00	6	6.5	6.5	14.1
40.00	2	2.2	2.2	16.3
42.00	1	1.1	1.1	17.4
44.00	4	4.3	4.3	21.7
45.00	2	2.2	2.2	23.9
46.00	3	3.3	3.3	27.2
47.00	6	6.5	6.5	33.7
48.00	5	5.4	5.4	39.1
49.00	6	6.5	6.5	45.7
50.00	15	16.3	16.3	62.0
52.00	5	5.4	5.4	67.4
53.00	3	3.3	3.3	70.7
54.00	9	9.8	9.8	80.4
55.00	2	2.2	2.2	82.6
56.00	4	4.3	4.3	87.0
57.00	3	3.3	3.3	90.2
58.00	5	5.4	5.4	95.7
59.00	2	2.2	2.2	97.8
61.00	1	1.1	1.1	98.9
62.00	1	1.1	1.1	100.0
Total	92	100.0	100.0	

Valid Cases 92 Missing cases 0 Mean 49.10 Median 50.00 Mode 50.00

Table 5
Assistant Principal Years of Experience

APs Years of Experience	Frequency	Percent	Valid Percent	CuM Percent
1.00	11	12.0	12.1	12.1
2.00	11	12.0	12.1	24.2
3.00	11	12.0	12.1	36.3
4.00	9	9.8	9.9	46.2
5.00	1	1.1	1.1	47.3
6.00	7	7.6	7.7	54.9
7.00	6	6.5	6.6	61.5
8.00	5	5.4	5.5	67.0
9.00	5	5.4	5.5	72.5
10.00	4	4.3	4.4	76.9
11.00	4	4.3	4.4	81.3
12.00	2	2.2	2.2	83.5
13.00	1	1.1	1.1	84.6
15.00	2	2.2	2.2	86.8
16.00	2	2.2	2.2	89.0
17.00	2	2.2	2.2	91.2
20.00	2	2.2	2.2	93.4
22.00	3	3.3	3.3	96.7
23.00	1	1.1	1.1	97.8
24.00	1	1.1	1.1	98.9
28.00	1	1.1	1.1	100.0
29.00	1	1.1		
-9.00	1	Missing		
Total	92	100.0		

Valid Cases 92 Missing cases 0 Mean 7.40 Median 6.00 Mode 1.00(a)

Table 6
Assistant Principal Years of Experience with Current Principal

Years of Experience	Frequency	Percent	Valid Percent	Cum Percent
1.00	14	15.2	15.4	15.4
2.00	19	20.7	20.9	36.3
3.00	12	13.0	13.2	49.5
4.00	8	8.7	8.8	58.2
5.00	7	7.6	7.7	65.9
6.00	7	7.6	7.7	73.6
7.00	4	4.3	4.4	78.0
8.00	4	4.3	4.4	82.4
9.00	6	6.5	6.6	89.0
11.00	2	2.2	2.2	91.2
13.00	2	2.2	2.2	93.4
15.00	1	1.1	1.1	94.5
17.00	1	1.1	1.1	95.6
22.00	2	2.2	2.2	97.8
23.00	1	1.1	1.1	98.9
24.00	1	1.1	1.1	100.0
-9.00	1	Missing		
Total	92	100.0	100.0	

Valid Cases 92 Missing cases 1 Mean 5.31 Median 4.00 Mode 2.00

Table 7
Total Number of Assistant Principals in the Respondent's Building

Value Label	Value Frequency	Percent	Valid Percent	Cum Percent
Only asst principal	29	31.5	31.5	31.5
One of two asst prin.	25	27.1	27.2	58.7
One of more than 2 asst prin	38	41.3	41.3	100.0
Valid cases	92	Missing cases	0	

The reliability analysis for consultation tactics resulted in an alpha of 0.44 (Table 10). This alpha was too low, so revisions in the scale were necessary. Two items, item seven and item 43, were deleted to raise alpha to 0.51. The alpha, while still low, was raised to an acceptable level with the deletion of the two items.

The reliability analysis for ingratiation revealed an alpha of 0.58. I determined it was appropriate to delete Item 15 since its deletion would raise the alpha to a somewhat more acceptable 0.65.

The reliability analysis for the tactic of rational persuasion revealed an alpha of 0.65. I determined that the deletion of two items would raise our alpha to 0.73. The two items which were deleted were Item 2 and Item 11.

Table 8
Reliability Analysis - Scale Total

Item	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Alpha if Item Deleted
Q1	129.21	499.07	.07	.91
Q2	127.47	503.66	.01	.91
Q3	130.07	491.56	.28	.91
Q4	130.72	495.28	.29	.91
Q5	130.82	130.82	.17	.91
Q6	129.87	500.73	.06	.91
Q7	129.51	495.04	.18	.91
Q8	128.32	487.05	.34	.91
Q9	129.35	493.97	.21	.91
Q10	129.61	506.61	.06	.91
Q11	127.50	503.40	.03	.91
Q12	130.18	483.56	.49	.91
Q13	130.18	484.64	.51	.91
Q14	129.11	462.27	.67	.90
Q15	129.61	500.20	.06	.91
Q16	128.20	500.62	.08	.91
Q17	129.22	485.05	.35	.91
Q18	130.13	489.52	.33	.91
Q19	129.36	476.47	.54	.91
Q20	128.24	488.82	.39	.91
Q21	130.02	486.53	.38	.91
Q22	130.12	474.90	.69	.91
Q23	129.93	472.02	.60	.91
Q24	129.26	478.92	.52	.91
Q25	128.47	491.55	.27	.91
Q26	128.25	480.78	.47	.91
Q27	129.98	490.07	.38	.91
Q28	129.41	485.43	.44	.91
Q29	128.26	487.54	.39	.91

Item-Total Statistics

	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Alpha if Item Deleted
Q30	129.16	489.02	.35	.91
Q31	130.07	478.85	.63	.91
Q32	129.92	469.96	.63	.91
Q33	129.55	463.96	.67	.90
Q34	128.03	494.76	.27	.91
Q35	128.79	471.64	.63	.91
Q36	130.23	492.51	.31	.91
Q37	130.15	490.37	.30	.91
Q38	128.37	480.02	.51	.91
Q39	130.43	484.25	.52	.91
Q40	129.72	467.70	.64	.91
Q41	130.11	474.23	.54	.91
Q42	129.80	464.88	.69	.90
Q43	129.46	489.00	.28	.91
Q44	128.27	487.76	.40	.91
Q45	129.98	479.85	.49	.91
Q46	129.58	462.49	.68	.90
Q47	129.42	485.43	.36	.91
Q48	128.00	494.37	.25	.91
Q49	128.86	467.99	.60	.91
Q50				

Reliability Coefficients

N of Cases = 92.0 N of Items = 50 Alpha = .91

Table 9
Reliability Analysis - Coalition Tactic

Item-Total		Statistics		
	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Alpha if Item Deleted
Q9	9.48	10.96	.25	.74
Q18	10.26	10.02	.45	.68
Q27	10.11	9.70	.65	.62
Q36	10.36	10.10	.55	.65
Q45	10.11	9.24	.50	.66
Q50	10.39	10.55	.34	.70
Reliability Coefficients				
N of Cases = 92.0		N of Items - 6	Alpha = .71	

Table 10
Reliability Analysis - Consultation Tactic

Item-Total		Statistics		
	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Alpha if Item Deleted
Q7	17.90	7.25	.09	.48
Q16	16.58	6.99	.26	.38
Q25	16.86	6.47	.28	.36
Q34	16.42	6.99	.32	.35
Q43	17.85	7.32	.05	.51
Q48	16.39	6.39	.41	.30
Reliability Coefficients				
N of Cases = 92.0		N of Items - 6	Alpha = .44	

Table 11
Reliability Analysis - Exchange Tactic

Item-Total Statistics				
	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Alpha if Item Deleted
Q5	11.40	25.94	.18	.85
Q14	9.70	18.26	.55	.81
Q23	10.52	18.25	.71	.77
Q32	10.51	18.14	.70	.77
Q41	10.70	18.41	.67	.78
Q46	10.16	17.08	.69	.77
Reliability Coefficients				
N of Cases = 92.0		N of Items - 6		Alpha = .82

Table 12
Reliability Analysis - Ingratiation Tactic

Item-Total Statistics				
	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Alpha if Item Deleted
Q6	12.40	13.76	.15	.59
Q15	12.14	14.63	.00	.65
Q24	11.79	10.80	.57	.42
Q33	12.09	10.43	.43	.47
Q42	12.34	10.42	.47	.45
Q47	11.96	12.33	.31	.53
Reliability Coefficients				
N of Cases = 92.0		N of Items - 6		Alpha = .58

Table 13
Reliability Analysis - Inspirational Appeals Tactic

Item-Total Statistics				
	Scale Mean if Item Deleted	Scale Variance if Corrected Item Deleted	Item-Total Correlation	Alpha if Item Deleted
Q8	12.92	11.32	.26	.66
Q17	13.83	10.52	.33	.64
Q26	12.86	10.43	.39	.61
Q35	13.40	8.99	.58	.51
Q49	13.47	8.69	.50	.55

Reliability Coefficients
N of Cases = 92.0 N of Items = 5 Alpha = .65

Table 14
Reliability Analysis - Legitimizing Tactic

Item-Total Statistics				
	Scale Mean if Item Deleted	Scale Variance if Corrected Item Deleted	Item-Total Correlation	Alpha if Item Deleted
Q1	9.51	7.46	.38	.53
Q10	9.91	8.21	.35	.54
Q19	9.66	8.91	.24	.60
28	9.72	8.18	.50	.48
Q37	10.46	8.80	.33	.55

Reliability Coefficients
N of Cases = 92.0 N of Items = 5 Alpha = .60

Table 15
Reliability Analysis - Personal Appeals Tactic

Item-Total	Statistics			
	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Alpha if Item Deleted
Q3	8.24	7.41	.42	.69
Q12	8.36	7.00	.55	.64
Q21	8.20	6.51	.58	.62
Q30	7.34	8.09	.29	.74
Q39	8.61	7.27	.56	.64

Reliability Coefficients
N of Cases = 92.0 N of Items - 5 Alpha = .72

Table 16
Reliability Analysis - Pressure Tactic

Item-Total	Statistics			
	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Alpha if Item Deleted
Q4	7.96	10.61	.44	.82
Q13	7.42	9.28	.58	.78
Q22	7.36	8.87	.57	.78
Q31	7.30	8.19	.78	.72
Q40	6.96	6.77	.70	.75

Reliability Coefficients
N of Cases = 92.0 N of Items - 5 Alpha = .81

Table 17
Reliability Analysis - Rational Persuasion Tactic

Item-Total Statistics				
	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Alpha if Item Deleted
Q2	19.41	8.49	.18	.67
Q11	19.45	8.82	.13	.68
Q20	20.19	6.99	.44	.59
Q29	20.21	6.39	.53	.55
Q38	20.32	6.09	.50	.56
Q44	20.22	6.61	.50	.56
Reliability Coefficients				
N of Cases = 92.0		N of Items - 6		Alpha = .65

Question 1. Do high school assistant principals employ the same tactics in attempting to influence their principals that subordinates in private sector organizations employ when they attempt to influence their superordinates?

Taken all together, the data tend to indicate that high school assistant principals do differ from their private sector counterparts in the way they report using influence tactics.

Table 18 shows the rank, based on mean scores, of the influence tactics on the IBQ. The table also shows the comparison of the results of this study to the results from the upward influence portion of the 1990 Yukl and Falbe study. Differences do exist in the two studies. The tactics of personal appeals and legitimating have been added to the IBQ since their 1990 study was conducted. The tactic of upward appeals has since been dropped from the IBQ. Thus, the current IBQ instrument has nine influence tactics compared to only eight in the earlier version.

Table 18
Influence Tactic Rank Comparison

Dissertation Study Rank				Yukl and Falbe Rank			
Rank	Tactic	N	Mean	Rank	Tactic	N	Mean
1	Consultation	92	3.83	1	Rational Persuasion	60	3.3
2	Rational Persuasion	92	3.73	2	Consultation	60	3.3
3	Inspirational Appeals	92	3.32	3	Inspirational Appeals	60	2.5
4	Legitimizing	92	2.46	4	Coalition	60	2.3
5	Ingratiation	92	2.43	5	Ingratiation	60	2.2
6	Exchange	92	2.10	6	Upward Appeals	60	1.6
7	Personal Appeal	92	2.08	7	Pressure	60	1.5
8	Coalition	92	2.02	8	Exchange	60	1.4
9	Pressure	92	1.85				

A rank order test was not computed for the following reasons. First, the survey instrument has been changed over the years. Second, data collection procedures were very different. Third, differences, significant or otherwise, would be very difficult to analyze and interpret. However, rankings in the two studies do have some interesting apparent differences which will be analyzed descriptively.

The first three tactics are the same in each study. The order of the first two tactics varies in the studies. The Yukl and Falbe study showed Rational Persuasion with the highest rank followed by Consultation. This study had the order of those two tactics reversed. Ingratiation held the third rank in both studies. The fourth rank shows legitimizing in this study - which is not a tactic in the Yukl and Falbe study - and the Yukl and Falbe study showed Coalition in the fourth spot. That rank compares to a

ranking of eighth in this study. The Coalition ranking is quite different, and worthy of notice, in the two studies. Ingratiation occupied the fifth spot in both studies. The sixth position in this study showed Exchange. Exchange was eighth and, most notably, last in the Yukl and Falbe study. Several differences appear to exist in the two studies. The differences which vary the most involve the tactics of Coalition and Exchange.

Question 2. Do male and female high school assistant principals differ in their utilization of upward influence tactics?

In the main, the data indicate that male and female high school assistant principals are very similar in their reported use of influence tactics.

Table 19 shows a comparison of tactic rank between male and female respondents. The first five tactics fall in the same order for males and females. The bottom four tactics fall in a different order. Males choose exchange and personal appeals over coalitions and pressure. Females chose coalition and pressure over exchange and personal appeal.

Table 19
Tactic Rank by Gender

	Male Rank	Mean		Female Rank	Mean
1	Consultant	3.84	1	Consultant	3.84
2	Rational Persuasion	3.72	2	Rational Persuasion	3.74
3	Inspirational Appeal	3.29	3	Inspirational Appeal	3.44
4	Legitimizing	2.46	4	Legitimizing	2.46
5	Ingratiation	2.43	5	Ingratiation	2.43
6	Exchange	2.11	6	Coalition	2.23
7	Personal Appeal	2.08	7	Pressure	2.09
8	Coalition	1.97	8	Exchange	2.07
9	Pressure	1.78	9	Personal Appeal	1.87

For research question 2, t-tests were executed to produce statistics comparing gender responses to each of the nine influence tactics (Table 20). According to the findings of the effect size characterizing the mean differences, research question 2 would have to be answered by saying that these findings do support the notion that males and females may differ slightly in their utilization of influence tactics in general. However, the top five mean scores remained the same for male and female respondents.

The last four tactics were the same for both male and female. However, the order of the last four tactics was different for male and female respondents. One could conclude males and females do not differ clearly on the rank order of influence tactics, but they may differ slightly on their use of exchange, personal appeals, and rational persuasion.

Effect sizes also were calculated to see if groups had meaningful differences in terms of means. Cohen's d was used for the analysis. Effect size calculations were done even though t-test results were not reliable. The reason is that this is an exploratory study and the number of respondents is small. A small effect size exists when d is .20. A medium effect size exists when d is .50. A large effect size exists if d is .80. The results of this analysis suggest that there are small-to-medium differences in the way males and females report using four of the nine tactics. The magnitude of the reported differences in the use of coalition, personal appeals, and pressure are in the small to medium range. Thus males and females differ somewhat on their reported use of these tactics. However, it should be kept in mind that these differences are not reliable.

Table 20
Group Statistics by Gender

		N	Mean	Std Deviation	t	p	d*																																																																																												
Consultation	Male	72	3.84	.61	.00	.99	.02																																																																																												
	Female	20	3.83	.53				Coalition	Male	72	1.96	.62	-1.66	.10	.43	Female	20	2.22	.57	Exchange	Male	72	2.10	.94	.19	.85	.06	Female	20	2.06	.51	Inspirational Appeal	Male	72	3.29	.79	-.77	.44	.19	Female	20	3.44	.62	Ingratiation	Male	72	2.42	.80	-.01	.99	.01	Female	20	2.43	.66	Legitimizing	Male	72	2.46	.72	.07	.98	.00	Female	20	2.46	.59	Personal Appeals	Male	72	2.08	.65	1.3	.20	.32	Female	20	1.87	.65	Rational Persuasion	Male	72	3.72	.74	-.09	.93	.03	Female	20	3.74	.52	Pressure	Male	72	1.78	.71	-1.70	.09	.29
Coalition	Male	72	1.96	.62	-1.66	.10	.43																																																																																												
	Female	20	2.22	.57				Exchange	Male	72	2.10	.94	.19	.85	.06	Female	20	2.06	.51	Inspirational Appeal	Male	72	3.29	.79	-.77	.44	.19	Female	20	3.44	.62	Ingratiation	Male	72	2.42	.80	-.01	.99	.01	Female	20	2.43	.66	Legitimizing	Male	72	2.46	.72	.07	.98	.00	Female	20	2.46	.59	Personal Appeals	Male	72	2.08	.65	1.3	.20	.32	Female	20	1.87	.65	Rational Persuasion	Male	72	3.72	.74	-.09	.93	.03	Female	20	3.74	.52	Pressure	Male	72	1.78	.71	-1.70	.09	.29	Female	20	2.09	.75								
Exchange	Male	72	2.10	.94	.19	.85	.06																																																																																												
	Female	20	2.06	.51				Inspirational Appeal	Male	72	3.29	.79	-.77	.44	.19	Female	20	3.44	.62	Ingratiation	Male	72	2.42	.80	-.01	.99	.01	Female	20	2.43	.66	Legitimizing	Male	72	2.46	.72	.07	.98	.00	Female	20	2.46	.59	Personal Appeals	Male	72	2.08	.65	1.3	.20	.32	Female	20	1.87	.65	Rational Persuasion	Male	72	3.72	.74	-.09	.93	.03	Female	20	3.74	.52	Pressure	Male	72	1.78	.71	-1.70	.09	.29	Female	20	2.09	.75																				
Inspirational Appeal	Male	72	3.29	.79	-.77	.44	.19																																																																																												
	Female	20	3.44	.62				Ingratiation	Male	72	2.42	.80	-.01	.99	.01	Female	20	2.43	.66	Legitimizing	Male	72	2.46	.72	.07	.98	.00	Female	20	2.46	.59	Personal Appeals	Male	72	2.08	.65	1.3	.20	.32	Female	20	1.87	.65	Rational Persuasion	Male	72	3.72	.74	-.09	.93	.03	Female	20	3.74	.52	Pressure	Male	72	1.78	.71	-1.70	.09	.29	Female	20	2.09	.75																																
Ingratiation	Male	72	2.42	.80	-.01	.99	.01																																																																																												
	Female	20	2.43	.66				Legitimizing	Male	72	2.46	.72	.07	.98	.00	Female	20	2.46	.59	Personal Appeals	Male	72	2.08	.65	1.3	.20	.32	Female	20	1.87	.65	Rational Persuasion	Male	72	3.72	.74	-.09	.93	.03	Female	20	3.74	.52	Pressure	Male	72	1.78	.71	-1.70	.09	.29	Female	20	2.09	.75																																												
Legitimizing	Male	72	2.46	.72	.07	.98	.00																																																																																												
	Female	20	2.46	.59				Personal Appeals	Male	72	2.08	.65	1.3	.20	.32	Female	20	1.87	.65	Rational Persuasion	Male	72	3.72	.74	-.09	.93	.03	Female	20	3.74	.52	Pressure	Male	72	1.78	.71	-1.70	.09	.29	Female	20	2.09	.75																																																								
Personal Appeals	Male	72	2.08	.65	1.3	.20	.32																																																																																												
	Female	20	1.87	.65				Rational Persuasion	Male	72	3.72	.74	-.09	.93	.03	Female	20	3.74	.52	Pressure	Male	72	1.78	.71	-1.70	.09	.29	Female	20	2.09	.75																																																																				
Rational Persuasion	Male	72	3.72	.74	-.09	.93	.03																																																																																												
	Female	20	3.74	.52				Pressure	Male	72	1.78	.71	-1.70	.09	.29	Female	20	2.09	.75																																																																																
Pressure	Male	72	1.78	.71	-1.70	.09	.29																																																																																												
	Female	20	2.09	.75																																																																																															

* for d, .2 = small, .5 = medium, .8 = large

3. Do the upward influence tactics employed by high school assistant principals vary with the number of assistant principals in the school?

Taken together, the data tend to indicate that the number of assistant principals in a building has an impact on the reported use of influence tactics.

The mean score rankings of tactic choice by assistant principals with one, two, or more than two assistant principals in their building show very similar rankings (Table 21). The first five tactic choices - consultation, rational persuasion, inspirational appeals, legitimating, and ingratiation - are the same in each group. The only difference in rank comes with spot number six. APs who are the sole APs in their buildings indicated that they would be more likely to use the tactic of personal appeal over the tactic of exchange. Tactics eight and nine, coalition and pressure, were the same for each of the three groups.

Table 7 shows that nearly one third of the assistant principals responding to this survey were the only assistant principal in their buildings. After visual inspection of the data indicated that means for those respondents with 2 or more APs appeared to differ from means for APs in schools with only one AP in the building, t-tests were calculated to assess the reliability of differences in means for these two groups.

Table 21
Tactic Ranking by Numbr of APs

Single Assistant Principal			
Rank		Mean	N
1	Consultation	3.92	29
2	Rational Persuasion	3.67	29
3	Inspirational Appeal	3.24	29
4	Legitimizing	2.30	29
5	Ingratiation	2.24	29
6	Personal Appeal	1.94	29
7	Exchange	1.93	29
8	Coalition	1.79	29
9	Pressure	1.60	29

Two Assistant Principals			
Rank		Mean	N
1	Consultation	3.86	
2	Rational Persuasion	3.82	
3	Inspirational Appeal	3.31	
4	Legitimizing	2.60	
5	Ingratiation	2.56	
6	Exchange	2.35	
7	Personal Appeal	2.14	
8	Coalition	2.04	
9	Pressure	1.98	

More than 2 Asst. Principals			
Rank		Mean	N
1	Consultation	3.76	
2	Rational Persuasion	3.70	
3	Inspirational Appeal	3.39	
4	Legitimizing	2.50	
5	Ingratiation	2.48	
6	Exchange	2.06	
7	Personal Appeal	2.04	
8	Coalition	2.19	
9	Pressure	1.95	

Table 22
Group Statistics

Number of Assistant Principals	N	Mean	Std Deviation	t	p	d*	
Consultation	1.00 2.00	29 63	3.92 3.80	.66 .56	.94	.35	.20
Coalition	1.00 2.00	29 63	1.79 2.22	.64 .58	-2.50	.01	.70
Exchange	1.00 2.00	29 63	1.93 2.18	.82 .88	-1.27	.21	.29
Inspirational Appeals	1.00 2.00	29 63	3.24 3.36	.82 .73	-.71	.48	.15
Ingratiation	1.00 2.00	29 63	2.24 2.51	.71 .78	-1.60	.11	.36
Legitimizing	1.00 2.00	29 63	2.30 2.54	.66 .69	-1.59	.12	.36
Personal Appeals	1.00 2.00	29 63	1.95 2.08	.64 .66	-.92	.36	.20
Rational Persuasion	1.00 2.00	29 63	3.67 3.75	.80 .65	-.50	.62	.11
Pressure	1.00 2.00	29 63	1.60 1.97	.71 .71	-2.31	.02	.52

*for d, .2 = small, .5 = medium, .8 = large

The t-test revealed statistically significant differences at the .05 level or better for two tactics: coalition and pressure. The coalition tactic had a 2-tailed significance of .01 while the pressure tactic had a 2-tailed significance of .02. Effect size results show that the difference regarding coalition has a medium to large effect size of .70, while, the difference regarding pressure has a medium effect size of .52.

Table 23
Tactic Ranking by Years of AP Experience

Group 1			Group 2		
Rank		Mean	Rank		Mean
1	Consultation	3.91	1	Rational Persuasion	3.73
2	Rational Persuasion	3.63	2	Consultation	3.65
3	Inspirational Appeal	3.35	3	Inspirational Appeal	3.21
4	Ingratiation	2.50	4	Legitimizing	2.39
5	Legitimizing	2.42	5	Ingratiation	2.31
6	Exchange	2.12	6	Coalition	2.02
7	Coalition	2.05	7	Exchange	2.02
8	Personal Appeal	1.97	8	Personal Appeal	1.97
9	Pressure	1.87	9	Pressure	1.84

Group 3		
Rank		Mean
1	Consultation	3.90
2	Rational Persuasion	3.81
3	Inspirational Appeal	3.38
4	Legitimizing	2.55
5	Ingratiation	2.45
6	Exchange	2.14
7	Personal Appeal	2.15
8	Coalition	2.00
9	Pressure	1.84

Group 1 - fewer than three years of AP experience

Group 2 - more than three years and less than eight years of AP experience

Group 3 - eight or more years of AP experience

Question 4. Do upward influence tactics employed by high school assistant principals vary with the length of time one has been an assistant principal?

Taken together, the data tend to indicate that the length of time one has been a high school assistant principal impacts the reported selection of influence tactics.

Table 24 shows the rankings of three distinct groups. The groups were divided according to their years of experience as assistant principals. Members of group 1 have less than three years of experience. Group 2 members have more than three years and less than eight years of assistant principal experience. Group 3 consists of APs with more than eight years of experience.

This table shows several differences in the rank scores between the three groups. The first difference occurs with the highest mean rank score. Consultation was the tactic with the highest ranking and rational persuasion the second highest for groups one and three. Rational Persuasion had the highest ranking for group 2. The groups had an identical ranking for inspirational appeals. The groups ranked the tactics of ingratiation and legitimating in spots four and five. The groups varied in the way they ranked the use of the coalition tactic. Group one ranked coalition as the seventh tactic, group two ranked the tactic in a tie for sixth, and group three - the group with the most experience - compiled a ranking of eighth for the tactic.

Table 5 shows that nearly one third of the respondents had three or fewer years of experience as an assistant principal. Three groups were formed based on the years of experience of the respondents. Members of group one have three or fewer than three years of assistant principal experience, group two members have more than three but

fewer than eight years of experience as an assistant principal, and members of group three have eight or more years of experience as an assistant principal.

ANOVAs were utilized to analyze the differences, if any, among three groups (Table 24). The test, showed no statistical significance in any tactic. However, seven of the nine tactics have at least a small to medium effect size. The tactics of ingratiation and legitimating are approaching medium in effect size. This shows some significance. However, the real find is in the effect size of pressure and coalition. A small effect size would be .01. A medium effect size would be .06. A large effect size would be .14. Pressure and coalition have effect sizes of .07 and .06 respectively. Both tactics are in the medium to just above medium range.

Table 24
Descriptives

		N	Mean	Std Deviation	F	p	Eta
Consultation	3 or fewer	33	3.91	.49	1.71	.86	.02
	4 to 7	24	3.65	.74			
	8 or more	35	3.90	.56			
Coalition	3 or fewer	33	2.05	.59	.06	.95	.06
	4 to 7	24	2.02	.78			
	8 or more	35	2.00	.53			
Exchange	3 or fewer	33	2.12	.80	.14	.87	.02
	4 to 7	24	1.02	.80			
	8 or more	35	2.13	.98			
Inspirational Appeals	3 or fewer	33	3.35	.79	.38	.68	.01
	4 to 7	24	3.21	.69			
	8 or more	35	3.38	.78			
Ingratiation	3 or fewer	33	2.50	.81	.43	.65	.03
	4 to 7	24	2.31	.71			
	8 or more	35	2.45	.77			
Legitimizing	3 or fewer	33	2.42	.76	.45	.64	.03
	4 to 7	24	2.39	.64			
	8 or more	35	2.55	.66			
Personal Appeals	3 or fewer	33	1.97	.62	.83	.44	.01
	4 to 7	24	1.97	.72			
	8 or more	35	2.15	.63			
Rational Persuasion	3 or fewer	33	3.63	.63	.60	.55	.01
	4 to 7	24	3.72	.62			
	8 or more	35	3.81	.80			
Pressure	3 or fewer	33	1.87	.76	.01	.99	.07
	4 to 7	24	1.84	.78			
	8 or more	35	1.84	.66			

Question 5. Do upward influence tactics employed by high school assistant principals vary with the length of time a given assistant has worked with a given principal?

Taken together, the data tend to indicate that assistant principals with three or fewer years of experience select influence tactics in a manner similar to assistant principals with more than three years of experience.

Of the 92 respondents to this survey, 45 had three or fewer years of experience with their current principals (Table 6). The other 47 respondents reported having four or more years of experience. These numbers show an almost even split of the assistant principal respondents.

The group statistics and the rank order complement each other. The rank order (Table 26) shows a only a slight difference in the order of tactics. The rank of coalitions and personal appeals exchange the seven and eight positions in the rank order tables. The group statistics (Table 26) also show no significant difference in the way the items are selected; for none of the tactics do differences in means approach the .05 level of significance. Since none of the differences were statistically significant, effect sizes were not calculated.

Table 25
Mean Rank Order

AP with <3 years of experience			AP with >3 years of experience		
Tactic		Mean	Tactic		Mean
1	Consultation	3.87	1	Consultation	3.81
2	Rational Persuasion	3.67	2	Rational Persuasion	3.78
3	Inspirational Appeals	3.42	3	Inspirational Appeals	3.23
4	Legitimizing	2.46	4	Legitimizing	2.46
5	Ingratiation	2.44	5	Ingratiation	2.41
6	Exchange	2.07	6	Exchange	2.12
7	Coalition	2.07	7	Personal Appeals	2.09
8	Personal Appeals	1.98	8	Coalition	1.98
9	Pressure	1.87	9	Pressure	2.09

First, the means showed a nearly identical order of tactics for both groups (Table 26) of assistant principals to the order displayed for the entire group of assistant principals. Second, visual inspection of the means shows very little discrepancy between the means on each item.

	Principal Experience	N	Mean	Std Deviation	<i>t</i>	<i>p</i>
Consultation	1.00	45	3.87	.54	.47	.64
	2.00	47	3.81	.64		
Coalition	1.00	45	2.07	.61	.65	.52
	2.00	47	2.12	.91		
Exchange	1.00	45	2.07	.83	.28	.78
	2.00	47	2.12	.91		
Inspirational Appeals	1.00	45	3.42	.73	1.22	.23
	2.00	47	3.23	.78		
Ingratiation	1.00	45	2.44	.78	.20	.84
	2.00	47	2.41	.76		
Legitimizing	1.00	45	2.46	.70	-.01	.99
	2.00	47	2.46	.68		
Personal Appeals	1.00	45	1.98	.62	-.85	.40
	2.00	47	2.09	.68		
Rational Persuasion	1.00	45	3.67	.62	-.72	.47
	2.00	47	3.78	.76		
Pressure	1.00	45	1.87	.73	.27	.79
	2.00	47	1.83	.72		

Question 6. Do influence tactics employed by high school assistant principals vary with the relative ages of the given assistant and the given principal? That is, do assistant principals working with principals younger than themselves use different tactics than assistants working with principals older than themselves?

In the main, the data indicate that the relative ages of the assistant principal and the principal do impact the reported selection of influence tactics by the assistant principal.

Inspection showed that there were only seven assistant principals who were the same age as the principals with whom they worked. For this reason I determined that t-tests should be calculated to determine if there were any statistical differences in the way assistant principals who were older than their principals reported using influencing tactics compared with assistant principals who were younger than the principals with whom they work.

Table 27 shows a distinct difference in the mean rank order of the exchange tactic and the personal appeals tactic. However, other tactics show very little difference. Table 28 indicates four tactics have a mean difference with a statistical significance level of less than .05. The tactics of rational persuasion, exchange, pressure, and exchange had significance levels of .01, .03, .01, and .02 respectively.

Effect size calculations show legitimating (.20) and ingratiation (.26) with small *d* values. Inspirational appeals (.35), exchange (.43) and personal appeals (.42) fall into the small to medium level. Coalition (.50) has a medium *d* value while rational persuasion (.66) and pressure (.69) have medium to large effect sizes.

Table 27
Rank Order Based on Two Age Categories

AP Younger than Principal		
Rank		Mean
1	Rational Persuasion	4.08
2	Inspirational Appeals	3.42
3	Consultation	3.41
4	Legitimizing	2.55
5	Ingratiation	2.21
6	Exchange	2.21
7	Pressure	2.21
8	Coalition	2.14
9	Personal Appeals	2.13

AP Older than Principal		
Rank		Mean
1	Rational Persuasion	3.77
2	Consultation	3.33
3	Inspirational Appeals	3.15
4	Legitimizing	2.37
5	Ingratiation	2.30
6	Personal Appeals	1.87
7	Pressure	1.84
8	Coalition	1.80
9	Exchange	1.78

Table 28
Descriptives Based on Age

Tactic	Age Group	N	Mean	Stan Dev	<i>t</i>	<i>p</i>	<i>d</i> *
Legit	AP Younger	60	2.55	.69	1.08	.28	.26
	AP Older	25	2.37	.71			
Rational	AP Younger	60	4.08	.46	2.50	.01	.66
	AP Older	25	3.77	.60			
Inspirational Appeal	AP Younger	60	3.15	.72	1.52	.13	.35
	AP Older	25	3.42	.82			
Consultation	AP Younger	60	3.41	.52	.68	.50	.16
	AP Older	25	3.33	.47			
Exchange	AP Younger	60	2.21	.87	2.17	.03	.43
	AP Older	25	1.78	.73			
Pressure	AP Younger	60	2.21	.64	2.65	.01	.69
	AP Older	25	1.84	.44			
Ingratiation	AP Younger	60	2.48	.60	1.12	.27	.26
	AP Older	25	2.30	.77			
Personal Appeals	AP Younger	60	2.13	.68	1.69	.10	.42
	AP Older	25	1.87	.56			
Coalition	AP Younger	60	2.14	.63	2.35	.02	.57
	AP Older	25	1.80	.57			

*for *d* .2=small, .5=medium, .8=large

Conclusion

The preceding pages portrayed similarities and differences in reported use of tactics in regards to gender, number of assistant principals, experience levels, and relative ages. These patterns and responses are reviewed and discussed in the next chapter.

Chapter 5

DISCUSSION

Before entering into a full discussion of this study's findings, it is important to examine the results in a broader framework. In comparison to studies of principals, superintendents, teachers, and students, studies of high school assistant principals, and particularly their influence interactions with other administrators, are rare. If nothing else, these findings tell us something about assistant principals and about influence can help identify directions for further research in what is fundamentally a new field of inquiry.

Many of the variations in the behavior of assistant principals described in this study's data fall short of statistical significance. I want to argue, however, that we should not necessarily conclude that they are without meaning. There often is a tendency in educational research to equate importance with statistical significance, a bias which can be misleading (Sterling, 1995). Sometimes it is as useful to know that given phenomena do not vary significantly as it is to know that they do.

Discussion of the Research Questions

Question 1: Do high school assistant principals employ the same tactics in attempting to influence their principals that subordinates in private sector organizations employ when they attempt to influence their superordinates?

Conclusion: I expected that since schools substantially differ from private sector organizations in structure and operation (Cohen and Olson, 1996; Weick, K. 1976) that there might be differences in the way subordinates attempted to influence their superordinates. The data, however, did not bear this out. Although the order of preference for certain influence tactics selected by assistant principals in this study varied slightly from their managerial counterparts as described in the research literature, the evidence is that they employ the same tactics in their pursuit of influence.

Discussion and Implications: The top three influence tactics employed by high school assistant principals and by private sector managers were the same; the only differences were in their rankings. Where private sector managers ranked rational persuasion first, assistant principals ranked consultation as their first choice. There could be several explanations for this. It could be possible that while schools and private sector organizations do not differ enough to alter employees' processes of influence gaining, they might differ enough to affect selection preferences in a small way.

Most private sector organizations have a bottom line, an objective measure of achievement. Inventories, contracts, sales, markets, the client base, and other facets of both manufacturing and service firms are more quantifiable. Arguments built upon facts and figures may be more appropriate for those circumstances. On the other hand, schools are ambiguous in their goals and inconsistent in the ways in which they attempt to achieve them, the technology of action is unclear (who can define "good teaching"?), and schools suffer a fluidity of member participation (students pass through, their

parents leave with them, and the turnover of educational personnel is high) (Cohn, March, & Olsen, 1972). Purely rational approaches to problem solving could, and probably do, have less perceived value in the school environment than in the corporate environment. Because the school is such an intensely human organization, a preference for consultation may make more sense.

Another possible explanation might be found in the differences in authority structures between schools and private organizations. The authority of a middle manager in a private sector organization seems more defined than does the authority of an assistant principal, and his decisions are less subject to review. This occurs in schools for at least two reasons. First, because APs typically do not have full responsibility for a given function or activity, the odds of their decisions being overridden by others are probably higher. Nebraska state law, for example, makes the principal responsible for many final decisions. Cases of teacher evaluation and recommendations for student expulsion are examples. An assistant principal who has only a share of a given responsibility, and whose contributions to certain decisions and processes are only advisory, would probably be wise to consult with his or her boss before taking an action that might be challenged. Secondly, unlike a manager's superior in the private sector -- the principal is easily accessible to teachers, parents, and students. He or she is most often in the building, and frequently only a few steps away from an assistant principal's office. The current leadership literature encourages principals to build personal relationships with their staffs and communities (Webb, 1985). The building of such relationships and the proximity of the higher authority encourages people dissatisfied with a particular procedure or decision to take their cases directly to the principal.

Question 2: Do male and female high school assistant principals differ in their utilization of upward influence tactics?

Conclusion: Based on the review of literature, I expected the data from this study to show that female assistant principals utilize ingratiating tactics, inspirational appeals, and coalition tactics more often than do their male counterparts. The results, however, did not sustain this expectation. Male and female assistant principals reported very similar preferences for given influence tactics. Both male and female APs selected consultation, rational persuasion, inspirational appeal, legitimating, and ingratiation in the same order. Still, there were some differences in their overall choice patterns that are worth discussing.

Discussion and Implications: The first five tactics are the same for both male and female assistant principals. This result is not consistent with the expectation that female assistant principals would utilize ingratiating tactics, inspirational appeals, and coalition tactics more often than would their male counterparts. This may mean that schools and their organizational culture override the impact of gender on the influence tactic selection.

There is a difference in the rank order of the coalition tactic between males and females. One possibility for this difference could be that females tend to be more interactive than do males (Offerman and Schrier, 1985).

The tactic of personal appeals finished last in the rank order of tactics by female assistant principals. One possible explanation for this low ranking may be that a female assistant principal does not feel comfortable making a person appeal to a male principal. In this study, only six female principals are represented for the 92 assistant principals. Of the twenty assistant principals who were female, only one reported working with a female principal. This fact may have a significant impact on the selection of influence tactics in general.

There are a couple of issues here that warrant further study. First, a study should be conducted with enough assistant principals who are male and female to give us reliable data on the following assistant principal/principal combinations: male AP with male principal, male AP with female principal, female AP with male principal, and

female AP with female principal. Second, further study should be conducted to look at the gender combination when there are two or more than two assistant principals. Would the selection of tactics differ based on the gender mix within the AP staff?

Question 3: Do the upward influence tactics employed by high school assistant principals vary with the number of assistant principals in the school?

Conclusion: Based on a very limited literature, I expected that the data relating to Question 3 would show that assistant principals in schools with more than two assistants utilize ingratiating tactics, inspirational appeals, and coalition tactics more often than assistant principals in smaller schools with fewer assistant principals. The results, however, did not sustain this expectation. Assistant principals reported very similar preferences regardless of the number of assistants in the building. All groups selected consultation, rational persuasion, inspirational appeal, legitimating, and ingratiation in the same order. These were the same tactics, in the same order, as Question 2 revealed. However, some interesting analysis can take place when a closer look is taken at this data in conjunction with the findings from the second question.

Discussion and Implications: The top five tactics are the same regardless of the amount of APs in the school. Coalition shows the same rank in each case. But further inspection of the means reveals an interesting point: the means go up as the number of APs goes up. In an inspection of the means for consultation, a different scenario reveals itself. When looking at the means for consultation, the reverse is true. That is, as the number of APs goes up, the mean score goes down.

A review of the information gathered for Question 3 raises questions worthy of further research. For example, while this question did not deal specifically with gender, gender could indeed be a key factor. The gender mix of those responding to this survey may play a large role in the way the questions were answered. Two

different combinations could exist regarding the gender of the AP and the principal. In the case of more than one AP in the building there could be a gender mix among the APs in the building as well. Further study is warranted to see how the AP/principal gender and the AP/AP gender mix affects responses to tactic selection.

Gender may well have had an impact on the tactic selections for this question. Twenty nine respondents to this survey are the only AP in their building. Of the 29 respondents, one of those is female while the other 28 are male. When this fact is considered, it is hard to say that any differences are due solely to the number of APs in the building. Differences in this instance may be due as much to gender, or the nearly all male response, as to the number of APs in the building. There exists a disproportionate number of males working in one-AP buildings. Further study is warranted since the issue of number of APs, and the gender mix of those APs, is not an isolated issue. Rather, they are indeed integrated issues.

Question 4. Do upward influence tactics employed by high school assistant principals vary with the length of time one has been an assistant principal?

Conclusion: In regard to Question 4, I expected that tactic selection would vary with the length of time the individual had been employed as an assistant principal. The reason for this expectation is that the more experienced AP may be more confident and secure in selecting tactics of influence because of his experience base as an AP. This expectation was not research-based, because there is no available research on which to base this supposition. This expectation is the same for the variables of age addressed in Question 5 and six. It was felt that there is reason to believe that experience and age would significantly affect the selection, or use, of influence tactics. Specifically, the tactics of coalitions because there is more time to establish networks and pressure, there is less of a need for this as one develops the skills of persuasion.

The findings for this question are mixed. Tactic ranking reveals very slight differences in the tactic selection. However, effect size shows that the tactics of coalition, rational persuasion, and pressure to have medium to large effect size. Two of those tactics, coalition and pressure, also drop in the mean score as their years of experience increases.

Discussion and Implications: Many scenarios exist as possible explanations for the statistics with this question. The tactics of coalition and pressure are of particular interest. As mentioned above, the mean scores for pressure and coalition drop as the experience level of the AP increases. This may be due to the experience level of the AP in knowing that those tactics are not viable tactics. It may be that experienced APs see these as tactics that should not be used too often. Veteran APs may understand the phrase “power used is power lost”. Veteran APs may see these tactics as tactics that are more wisely used less often. Specifically, the tactic of coalitions because there is more time to establish networks and pressure, there is less of a need for this as one develops the skills of persuasion.

Future study is needed in this area. The study should use greater numbers of APs for a greater volume of statistics. Greater numbers would also increase the likelihood that the gender issue could be studied in conjunction with years of experience.

Question 5: Do upward influence tactics employed by high school assistant principals vary with the length of time a given assistant has worked with a given principal?

Conclusion: Much like Question 4, I expected that tactic selection would vary with the length of time an AP had worked with a principal. Several reasons exist for this expectation. First, years of experience give an AP time to develop an

understanding of what tactics work best in a given situation. The experienced AP is more apt to know when more pressure would prove fruitful with the principal. Also, the experienced AP is more likely to understand when less pressure would work to influence the principal, thus saving power for a time when it may be essential. The only difference in the mean rank order between APs with more than 3 years of experience with their principal and those APs with 3 or less years of experience with their principal is with the tactics of personal appeals and coalition. The mean rank scores of the veteran group places personal appeals one rung higher than the less experienced group.

Discussion and Implications: One possible explanation for the difference in the rank order could be due to the relationship formed by those APs working with the same principal for more than three years. Those relationships may indicate the lack of a need to form coalitions since the individuals involved know each other so well.

As in Question 4, further study could help to answer this question better. Greater numbers would also increase the likelihood that, once again, the gender issue could be studied in conjunction with years of experience.

Question 6: Do influence tactics employed by high school assistant principals vary with the relative ages of the given assistant and the given principal? That is, do assistant principals working with principals younger than themselves use different tactics than assistants working with principals older than themselves?

Conclusion: Just as in Questions 4 and 5, the expectation for this question

was that tactic selection would vary with the relative ages of the AP and the principal. Many of the reasons for this expectation are the same as the reasons outlined in Questions 4 and 5. The difference in this question, however, is not with years of shared experience; rather it is with experience, or pure age. It was expected that the relative ages would have a similar impact on tactic selection.

In the two categories established for this study, APs who are older than their principal and APs who are younger than their principal, the mean rank order showed a distinct difference in the rank of exchange and personal appeals. The mean rank showed the AP who was younger than the principal ranked personal appeals last in the rank order.

Effect size calculations show the tactics of rational persuasion and pressure have a medium to large effect size. These calculations show a potential significant difference in the way those two tactics are utilized among the two groups as well.

Discussion and Implications: The AP who is older than the principal ranks personal appeals higher than the AP who is younger than the principal while the AP who is younger than the principal ranks exchange higher than the AP who is older than the principal. One reason for this may be that the principal who is older than the AP believes he has paid his dues. He no longer, or less often, feels a need to use exchange as a tactic in order to persuade.

The difference in the use of pressure may also result from a similar reason. Or, as stated above, the AP who is older than the principal may use the tactic of pressure more prudently than the AP who is younger than the principal.

Further study is warranted for this question. One area to look at would once again be how gender would impact with experience and age. Another area would be to look at gradations of age rather than just older and younger than the principal. For example, the AP who is one year older than the principal may answer quite differently than the AP who is twenty years older than the principal. Age gradations may produce different results.

Conclusions

One item that seemed to be consistent through the questions was the relative rank order of legitimating as a tactic of influence. Legitimating always ranked in the middle of the pack. One reason is that the AP job is a shared job. Due to the nature of the sharing that exists in the position, it is difficult for an AP to say "I decided this because it is my responsibility".

Another item of interest was the experience level of the AP respondents. 33 of the AP respondents had three or less years of experience. 35 of the respondents had eight or more years of experience. The smallest group was the group with more than three but less than eight years of experience. One reason for the middle group to be the smallest may be that during the third to eighth years in the AP position, the AP makes a decision to move on as a principal or remain as a career AP.

The need exists for further research on the assistant principalship because there is still a paucity of research on this subject. While this study begins to fill in this gap, many avenues still exist for more research on this topic. In general there is really a need to examine the impact of relationships – men with more experience; women with more experience; men working with female principals; women working with male principals; men working with male principals; women working with female principals; men with other male assistants; men with female assistants; women with other women assistants; women with other assistants who are male, etc.

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Appendix A
First Survey Cover Letter

Selection of Influence Tactics by the
High School Assistant Principal

You are invited to participate in this research study. The following information is provided to assist you in making an informed decision on whether to participate. If you have any questions please do not hesitate to ask.

You are eligible to participate because you are listed as a high school assistant principal in the Nebraska Department of Education Directory.

The purpose of the study is to discover how assistant principals attempt to influence principals in their organization.

Your participation in this study is purely voluntary. Your answers will remain confidential and will not be seen by anyone in your organization.

The information gained from this study may help us better understand the position of the assistant principal. The study is designed to examine differences or similarities in the tactics chosen between male and female assistant principals.

There are no risks or discomforts associated with this research.

You may find the experience enjoyable and the information gathered from the study may be helpful to you and other assistant principals.

Any information obtained during this study which could identify you will be kept strictly confidential. The information obtained in this study may be published in education journals or be presented at educational meetings but your identity will be kept strictly confidential.

You are free to decide not to participate in this study or to withdraw at any time without adversely affecting your relationship with the investigator or the University of Nebraska. Your decision will not result in any loss of benefits to which you are otherwise entitled.

Appendix B
Second Survey Letter

Dear Assistant Principal:

Two weeks ago you were sent a request to participate in a study of assistant principals. I know first hand how busy you are at any time of the year, let alone this time of the year. I thought it might be wise to send this follow up letter and ask again for your participation in this study. All of the information you need is in the enclosed survey and survey cover letter. Thank you for your time as I know it is indeed valuable.

Appendix C
Third Survey Letter

This is one final reminder to complete the survey sent to you regarding the influence tactics of assistant principals. Your participation is needed to allow the results to be more meaningful for all involved with this study. I will reassure you that all responses are treated confidentially. Your time and effort in completing this survey are greatly appreciated. I hope you have a great end to the school year.

Appendix D
Demographic Sheet from Survey

Please return this page and the five page survey. An envelope which is stamped and self-addressed is enclosed.

1. Please indicate your gender by placing an X in the appropriate space.
 Male Female 2. Please indicate your age.
3. Please indicate the gender of your principal by placing an X in the appropriate space.
 Male Female
4. Please indicate the age of your principal. Principal's age
5. How long have you been working as an assistant principal?
6. How long have you worked with your current principal?
7. Please indicate the situation which best describes your working environment by placing an X in the appropriate space.
 I am the only assistant principal in my high school.
 I am one of two assistant principals in my high school.
 I have more than two assistant principals in my high school.

8. Please indicate the gender and age of the other assistant principals in your building.

AP #1 Male Female Age
 AP #2 Male Female Age
 AP #3 Male Female Age
 AP #4 Male Female Age
 AP #5 Male Female Age

APPENDIX E
IRB Form Request

PURPOSE OF THE STUDY

The purpose of this survey study is to identify influence practices employed by high school assistant principals, the impact of gender upon the selection of tactics, and the impact of school size upon the selection of tactics.

II. CHARACTERISTICS OF THE SUBJECT POPULATION

- a. AGE RANGE - adults who have met the appropriate administrative certification for the State of Nebraska. Probably beyond 25 years of age to retirement age.
- b. SEX - Both male and female.
- c. NUMBER - 127 subjects for survey
- d. SELECTION CRITERIA - Surveys will be sent to all APs listed in the 1996-97 Nebraska Department of Education's school directory.

III. METHOD OF SUBJECT SELECTION

Surveys will be sent to all APs listed in the 1996-97 Nebraska Department of Education's school directory. A check of the directory shows a total of 127 assistant principals in Nebraska high schools. This sample will include the entire population.

IV. STUDY SITE

Surveys will be completed at the site of the assistant principal.

V. DESCRIPTION OF PROCEDURES

The Influence Behavior Questionnaire (IBQ) will be used to assess assistant principal's influence tactic choice. The IBQ was developed by Yukl and Falbe in 1990 study. The IBQ consists of 50 survey items and takes about twenty minutes to fill out.

VI. CONFIDENTIALITY

Returned surveys will be used for the sole purpose of gathering data from the 50 items on the survey. No identification of subjects will be made from the survey.

VII. INFORMED CONSENT

A return of the survey form will imply consent.

VIII. JUSTIFICATION OF EXEMPTION

The exempt category is category 2. Category 2 is “Research involving the use of educational tests, survey procedures, interview procedures, or observation of public behavior...”.

This survey will use subjects who are adult volunteers. All subjects are active assistant principals and will be volunteering information of a non-sensitive nature. The greatest care will be taken to make sure all responses are kept strictly confidential.

APPENDIX F
ANOVA for Number of Assistant Principals

Oneway Descriptives

		N	Mean	Std Deviation	F	p	eta sq.*
Consultation	1 AP	29	3.92	.67	.66	.52	.02
	2 Aps	25	3.86	.56			
	More than 2 APs	38	3.75	.57			
Coalition	1 AP	29	1.79	.64	3.57	.03	.06
	2 Aps	25	2.04	.46			
	More than 2 APs	38	2.18	.65			
Exchange	1 AP	29	1.93	.82	1.69	.19	.02
	2 Aps	25	2.35	1.01			
	More than 2 APs	38	2.06	.78			
Inspirational Appeals	1 AP	29	3.24	.82	.34	.72	.01
	2 Aps	25	3.31	.69			
	More than 2 APs	38	3.39	.76			
Ingratiation	1 AP	29	2.24	.71	1.35	.27	.03
	2 Aps	25	2.56	.84			
	More than 2 APs	38	2.48	.74			
Legitimizing	1 AP	29	2.30	.66	1.42	.25	.03
	2 Aps	25	2.60	.76			
	More than 2 APs	38	2.50	.64			
Personal Appeals	1 AP	29	1.94	.64	.58	.56	.01
	2 Aps	25	2.14	.67			
	More than 2 APs	38	2.04	.65			
Rational Persuasion	1 AP	29	3.67	.80	.33	.72	.01
	2 Aps	25	3.82	.60			
	More than 2 APs	38	3.70	.68			
Pressure	1 AP	29	1.60	.70	2.64	.01	.07
	2 Aps	25	1.98	.70			
	More than 2 APs	39	1.95	.72			

*eta squared .01 = small, .06 = medium, .14 = large

Group 1.00 - only assistant principal in building

Group 2.00 - one of two assistant principals in building

Group 3.00 - one of more than two assistant principals in building

APPENDIX G
Permission and Agreement Form for Use of the
Influence Behavior Questionnaire

Permission Form For Influence Behavior Questionnaire

The 1991 version of the Influence Behavior Questionnaire (IBQ) is a copyrighted questionnaire that is distributed by Manus Associates. There are two parallel versions of the IBQ. The IBQ-Agent is designed to be filled out by the agents who describe their own influence behavior toward one or more targets (as specified by the researcher). The IBQ-Target is designed to be filled out by a person who is the target of an agent's influence attempts; the agent may be specified by name, or the target may be asked to select an agent. The IBQ has 50 items and takes about 20 minutes to complete. There are nine influence tactics (Rational Persuasion, Consultation, Inspirational Appeals, Exchange, Pressure, Coalition Tactics, Legitimizing Tactics, Ingratiation, Personal Appeals), with 5 or 6 items per scale.

There is a charge for applied use by companies and consultants, and for research funded by a large grant, but for researchers who agree to the following conditions, we are prepared to make these questionnaires available for research at no charge. Please sign and return this form to indicate your agreement to abide by the following conditions. Note that for dissertations or theses, the student's major advisor should sign also.

Conditions:

1. The IBQ will be used as is with no changes or deletions in item content or format unless otherwise specified in writing and agreed to by Gary Yukl. Instructions may be modified as needed.
2. The IBQ will not be published in any form or distributed to any other potential users such as colleagues or clients. Any inquiries about use of the IBQ should be directed to Gary Yukl or Manus Associates. In published articles, reports, or dissertations, the scale definitions may be presented along with one sample item from each scale (the first or second item only). If the user desires to present results for other selected items, permission must be obtained to show those items in the article or report.
3. The user agrees to provide data from the research to Gary Yukl and allow it to be used to continue the development, validation, and norming of this instrument. The user will be acknowledged in technical reports or validity studies featuring his or her data.
4. The user agrees to provide a description of the sample used in the research, including job titles of the managers, function, level of authority, and type of organization.
5. The user agrees to limit use of the IBQ to the research described in the letter of request and certifies that the IBQ will not be used in any contract research or consulting activity in which the user is being paid a fee that exceeds direct expenses.

Print user name Brian Mahri

Sign name Brian Mahri Date 7/16/96

Advisor signature (if appropriate) Gary N. Hentzell, Associate Professor of Educ. Admin.

User Address:

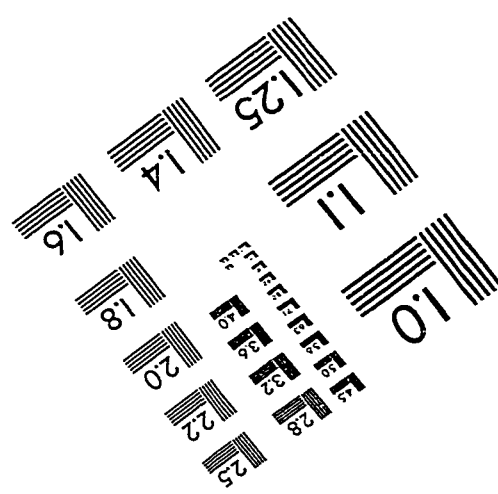
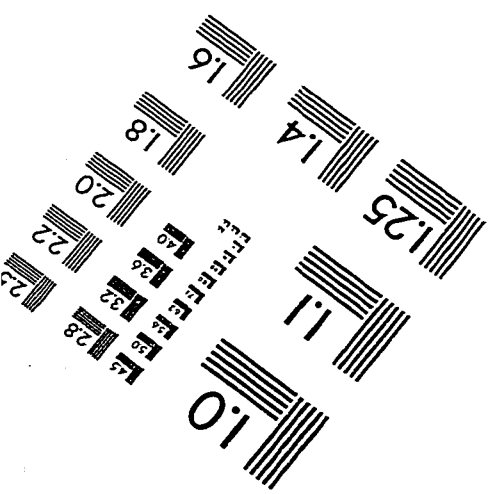
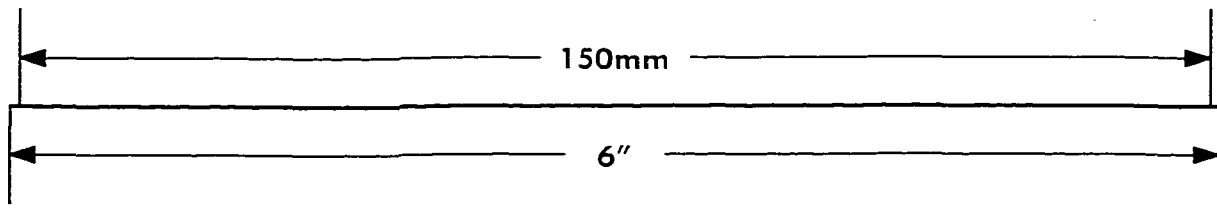
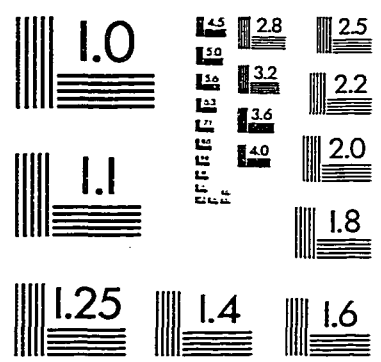
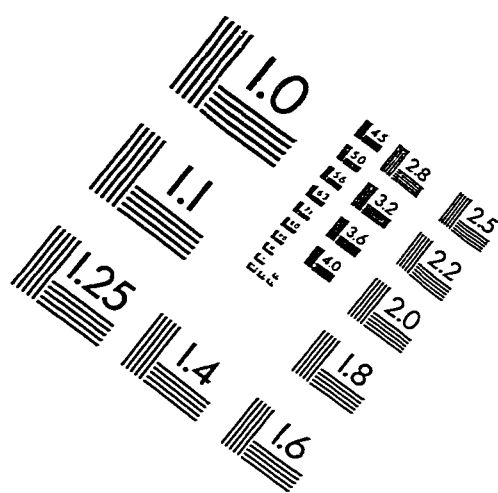
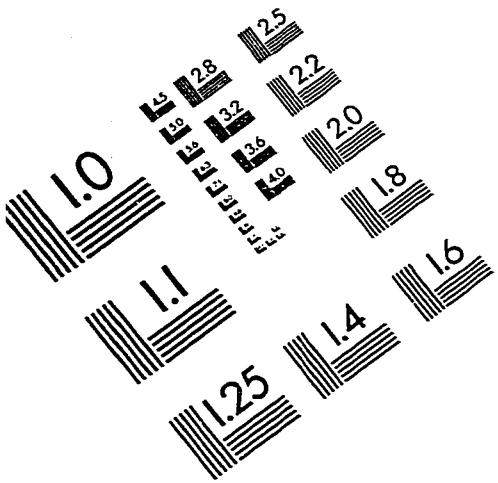
Telephone:

Check form(s) desired: IBQ-Target IBQ-Agent

On a separate sheet, please give a brief description of the proposed research, including the following types of information: (1) description of research design and objectives, (2) description of sample, (3) other measures (e.g., interviews, diaries, direct observation) to be used.

Permission approved by Gary Yukl Gary Yukl Date 7-17-96

IMAGE EVALUATION TEST TARGET (QA-3)



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