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# A Study of the Relationship between Participation of Elementary Principals in Suburban Cook County in the Development of Collective Bargaining Agreements with Teachers and Selected Outcomes

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A STUDY OF THE RELATIONSHIP BETWEEN PARTICIPATION  
OF ELEMENTARY PRINCIPALS IN SUBURBAN COOK COUNTY  
IN THE DEVELOPMENT OF COLLECTIVE BARGAINING  
AGREEMENTS WITH TEACHERS AND SELECTED  
OUTCOMES

by  
Rosemary Lucas

A Dissertation Submitted to the Faculty of the  
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SELECTED OUTCOMES

Purpose and Procedure

The purpose of this study was to determine the current role of elementary principals in suburban Cook County in the development of collective bargaining agreements with teachers and to consider this role in relationship to the inclusion of management prerogatives in the collective bargaining agreements being administered by these principals. The management of the contract through the disposition of grievances filed regarding contract violations was also studied, as was the satisfaction of the principal with his or her role in the development of the collective bargaining agreement with the teacher organization.

A questionnaire, which was designed to elicit responses to questions regarding the role of the principal in the development of the current collective bargaining agreement with the teacher organization, as well as the satisfaction of the principal with this role and his or her preferred status in this regard, was mailed to the principals of the elementary districts previously identified as having contracts which contained some or all of ten selected management prerogatives, as well as a grievance procedure.

Information regarding the input of the principal in the decision to include management prerogatives in the contract and data pertaining to the management and interpretation of the contract through the grievance procedure were also obtained. Standard statistical procedures were utilized to analyze the data and conclusions were drawn from data collected and analyzed.

Conclusions

The conclusions drawn were:

1. Principals are serving as members of the management team in the development of collective bargaining agreements with teachers in approximately one-third of the elementary districts in suburban Cook County which have negotiated agreements with teacher organizations.

2. Principals who are serving as members of or advisors to the management team are generally satisfied with their role in this regard.
3. The majority of principals who are serving as members of or advisors to the management team prefer to continue to serve in either of the two roles; however, the majority of principals who are not participating would prefer to change their role to that of alignment with the management team.
4. The role of the principal in the development of the collective bargaining agreements with the teacher organization had some influence on the inclusion of management prerogatives in the final contract; there was evidence that in those instances where principals served on the management team, the number of final contracts which contained five or more prerogatives was less than in those instances where principals had been non-participants.
5. The grievance procedure is not being used to any great extent to interpret or manage the collective bargaining agreement.
6. The role of the principal in the development of the collective bargaining agreement with teachers had little or no influence on grievances filed by teachers under the supervision of principals who served with the management team.
7. Although the majority of contracts represented by principals in this study contained a grievance procedure which terminated with binding arbitration, an insignificant number of grievances have been settled at that level.

#### Recommendations for Further Research

Recommendations for further research included:

1. A study of the effects of principal participation in the development of collective bargaining agreements with teachers on principal/teacher rapport within the school setting.
2. A study of the effects of principal participation in the development of collective bargaining agreements with teachers on board of education-superintendent-principal relationships.
3. An in depth study of grievances filed and terminated at the principal level to determine whether or not an amicable settlement was accomplished or principal or teacher acquiescence prevailed.
4. An analysis of grievances initiated over a given period of time compared with the items presented for negotiations by the teacher group during the same period of time.

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## VITA

The author, Rosemary Lucas, the daughter of Peter and Catherine (McMahon) Lucas, was born in Palos Hills, Illinois, on August 21, 1927.

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## CHAPTER I

### INTRODUCTION

This introductory chapter includes a statement of the purpose of the study, statement of the problem and rationale, and methods and procedures of the study.

The process of collective negotiations in education which has emerged within the past 20 years involves representatives of boards of education and representatives of teacher organizations meeting jointly to determine salaries and conditions of employment for teachers. This process results in a written contract between the boards and teacher organizations which typically contains a grievance procedure. Inherent in this process is the reluctance of boards of education to relinquish, or most certainly to modify, their management rights, many of which directly affect the day-to-day administration of a school by the principal.

Board members, superintendents, and other central office administrators--as well as school attorneys and professional negotiators who represent boards of education in bargaining with teachers--are somewhat unaware of the continuing problems of administering a contract that guarantees for teachers certain kinds of working conditions which are difficult, if not impossible, to provide under

the circumstances of the time. Lack of input by the principal into the development of the contract may lead to a situation wherein the principal is faced with the dilemma of managing a school effectively within contract constraints which, if not met, may result in grievances which could end in binding arbitration. At the same time, principals must maintain an environment within the school which is conducive to the learning process.

School principals are ultimately responsible and accountable for the management of schools to which they are assigned. The erosion of their management rights through the collective bargaining process may reduce substantially their effectiveness as educational leaders. The problem, then, becomes one of how to protect the management rights of principals. One possible solution is to involve them as members of the management team in the development of the collective bargaining agreement with teachers. The principal, by virtue of training, experience, and expertise, can bring to the bargaining table additional insights into the complexities and possible side effects of including in the final agreement such non-economic items as guaranteed planning time, class size, academic freedom, and assignment of extra duties.

### Purpose of the Study

The purpose of this study is to determine the current role of elementary principals in suburban Cook County in the development of collective bargaining agreements with teachers and to analyze the variance in this role of the principal in relation to the inclusion of selected management prerogatives in the final contract. Management of the contract through the disposition of grievances filed regarding contract violations, as well as the satisfaction of principals with their role in the collective bargaining process, also will be considered.

This study will: (1) investigate and report the current role of elementary principals in suburban Cook County in the development of collective bargaining agreements with teachers and principal satisfaction with this role; (2) analyze the relationship between this role of the principal and the inclusion of management rights in the negotiated agreement; (3) consider management of the contract through the disposition of grievances related to the contract; and (4) suggest future directions for the role of the principal in collective bargaining with teachers.

The results of this study should provide additional insights for boards of education and administrators regarding the emerging role of the elementary principal as a member of the management team.

## Statement of the Problem and Rationale

Boards of education are traditionally policy makers in education with administrators responsible for the implementation of these policies and teachers accountable for the actual instruction of the students assigned to them. The advent of collective bargaining in education has brought with it a struggle to change these heretofore well-established and defined roles. The unilateral decision-making posture assumed by boards of education and administrators in regard to the operation of the school system and control of the teaching staff is of necessity being modified to accommodate the changes being brought about in the collective bargaining process.

The desire of teachers to participate as partners in decision making which affects their well being and their professional status is inherent in the collective bargaining process. Initially, these decisions were limited to salary determinations and related items involving financial compensation for teachers. However, as teacher salaries have come more into line with salaries paid to others with similar training, different categories of problems have begun to occupy the limelight in collective bargaining. Included in the list of teacher demands are such conditions of employment as class size or assignment of teaching load, assignments of extracurricular duties, transfer and promotion procedures,

guaranteed planning periods within the school day, academic freedom, employee evaluation, and student discipline. Added to this list is the demand for a grievance procedure which typically terminates with binding arbitration.

The items listed are referred to in the private sector as "management prerogatives" or rights reserved to management and as more and more of them are included in collective bargaining agreements with teachers, conflict situations between teachers and teacher organizations and middle management, specifically school principals, have escalated.

One possible way to reduce, if not to eliminate, the conflict between the teachers and principals is to involve principals in developing the collective bargaining agreement with teachers. Principals are thus allowed to have some input into those clauses in the contract which will directly affect the administration of the schools.

The position that principals should be included in developing the negotiated agreement with the teacher group is supported by both the National Elementary School Principals Association and the National Association of Secondary School Principals, as well as by early writers.

The argument that it is counterproductive for principals to become involved in the negotiations process is based on the view that negotiations are either of little consequence or that there are other considerations of greater import--that the principal should stay out of the dirty, grimy, hostile atmosphere that surrounds the bargaining table. But if the negotiations

are of little import, then it follows that the fruit of the effort, the master contract, is also of little significance. Yet, the master contract does specify the working conditions that teachers may expect (sometimes from coat closet to coffee break) as well as what school administrators may expect from teachers (such as hours on duty and attendance at faculty meetings). Thus the matters dealt with, and sometimes those matters that do not ultimately appear in the master contract, do have a direct bearing on the operation of each school within the district.<sup>1</sup>

If a good collective bargaining agreement is one with which both parties can live comfortably, then it is even more essential that an elementary and a secondary school principal sit at the bargaining table as full-fledged members of the team. They, more than anyone else, can project the consequences to the school on an item under consideration.<sup>2</sup>

As members of the management team, principals have an opportunity to influence relationships and procedures that contribute to their responsibility and authority as managers. At the same time, upper echelons of management should recognize the potential of the principals' contribution to the power and effectiveness of the management hierarchy as a whole.<sup>3</sup>

Teachers and boards of education have negotiated all of the following items without principals being represented: separate teacher facilities, such as lunch rooms, rest rooms, and lounges; class size; length of school day; substitute teacher policies; student assignment to classes; discipline procedures; number and length of staff meetings; supervision of

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<sup>1</sup>David C. Smith, "Professional Negotiations and the Principal," The National Elementary Principal (Arlington, Va. 22209: National Association of Elementary School Principals, November, 1972), p. 93.

<sup>2</sup>T. M. Stinnett, Jack H. Kleinmann, and Martha L. Ware, Professional Negotiation in Public Education (New York: The Macmillan Company, 1966), p. 85.

<sup>3</sup>Harry E. Randles, "The Principal and Negotiated Contracts," The National Elementary Principal (Arlington, Va. 22209: National Association of Elementary School Principals, November-December, 1975), p. 61.



extracurricular activities and other non-teaching duties such as bus loading and school lunch supervision; curriculum determination and instructional procedures. These are all vital areas with which the principal<sup>1</sup> is concerned and for which he is accountable.

A review of the literature and recent studies pertaining to collective bargaining in education, as well as a review of topics considered at local, state, and national meetings of school board and school administrator organizations, substantiates the fact that the development of collective bargaining agreements between school boards and teachers' organizations is an area of major concern. Media reports of teacher union activities during the traditional September opening of schools further substantiate the seriousness of this issue.

A study of the "model" contract developed by the Illinois Education Association and frequently presented to boards of education as the demands of local teacher groups includes the following management prerogatives:

1. Employee discipline
2. Academic freedom
3. School calendar
4. Employee work day
5. Guaranteed preparation time
6. Assignment of extracurricular duties
7. Teaching load and class size
8. Notification of assignments
9. Pupil problems
10. Change of duties or responsibilities.

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<sup>1</sup>Richard A. Dempsey, "Principals and Negotiations," NASSP Bulletin (Reston, Va. 22209: National Association of Secondary School Principals, December, 1971), p. 30.

In addition to any or all of the foregoing items is the demand for a grievance procedure terminating with binding arbitration which can further erode management prerogatives. Substantiating the position that the grievance procedure is significant are statements such as the following:

A grievance policy is a most necessary concomitant of any negotiation procedure, since it provides for the democratic adjudication of any questions of alleged injustice to an individual or group arising from the interpretation and application of policy or from the day-by-day management of school affairs.<sup>1</sup>

Principals who deal with grievances will find that the two parties are meeting on equal ground without the usual teacher-principal relationships commonly found in the ordinary school situation. Therefore, principals should expect a type of strong opposition and aggressive discussion quite unlike that to which they may be accustomed.<sup>2</sup>

#### Method and Procedures of the Study

The review of the literature and related studies led to the development of the following questions to be considered in this study:

1. What is the current role of elementary principals in suburban Cook County in developing collective bargaining agreements with teachers?

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<sup>1</sup>Stinnett, Kleinmann, and Ware, Professional Negotiation, p. 170.

<sup>2</sup>Louis J. Kramer, Principals and Grievance Procedures (Washington: The National Association of Secondary School Principals, 1969), p. 22.

2. Are principals generally satisfied with their role in the development of collective bargaining agreements with teachers?
3. What is the preferred role of the principal in the development of collective bargaining agreements with teachers?
4. What input, if any, did the principal have in the inclusion of management prerogatives in the collective bargaining agreement with the teacher group?
5. Is there a significant difference between the role of the elementary principal in the development of collective bargaining agreements with teachers and the number of management prerogatives included in the final agreement?
6. Is the grievance procedure being used to manage and interpret the collective bargaining agreement?
7. Is there a significant difference between the role of the elementary principal in the development of collective bargaining agreements with teachers and the number and kind of grievances filed at the principal (building) level?
8. Is there a significant difference between the role of the elementary principal in the development of collective bargaining agreements with

teachers and the number of grievances settled at the principal (building) level?

The principals included in this study were those of suburban Cook County elementary districts which have collective bargaining agreements with teachers. The City of Chicago was excluded because of its unique size and composition of the board negotiating team.

To determine the adequacy of the sample for this study, a survey was conducted by mail of the 114 elementary districts in suburban Cook County to identify those which had negotiations agreements with teachers and to identify further those agreements which contained some or all of ten selected management prerogatives and a grievance procedure. Of the 106 responses received, 71 reported the existence of a master contract which included salary, fringe benefits, and working conditions. Of this number, 50 contracts contained at least four management prerogatives. Sixty-nine of the 71 districts reported a contract with a grievance procedure, with 39 of these terminating with binding arbitration. A total of 445 elementary principals were represented in the schools surveyed. A telephone survey to 25 randomly selected districts in this group revealed that 17 districts had principals serving as members of or advisors to the management team in negotiating with teachers. Thus, the sample size appeared to be sufficient to conduct a valid study.

The procedure used to obtain the data was a questionnaire by mail to principals of the elementary districts identified in the initial survey. The questionnaire was designed to elicit straightforward responses to direct questions relating to the principal's current role in collective bargaining, satisfaction with the role, and the desired role in negotiations. It further sought information regarding the input of the elementary principal in the decision to include management prerogatives in the contract, as well as information regarding the management and interpretation of the contract through the grievance procedure.

Standard statistical procedures were utilized to analyze the data and conclusions were drawn from information obtained and analyzed.

#### Clarification of Terms

For purposes of this study, an analysis by Fred Lifton and Wesley A. Wildman<sup>1</sup> of the 1975 Illinois Education Association Teacher Negotiations Basic Model Agreement was reviewed as it pertained to management prerogatives contained in the contract. Ten of these management prerogatives were then selected for inclusion in this study. The prerogatives and implications of their inclusion in the contract as derived from the analysis are:

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<sup>1</sup>Fred Lifton and Wesley A. Wildman, Analysis of I.E.A. Teacher Negotiations Basic Model Agreement (Springfield, Il.: Illinois Association of School Boards, 1975).

1. Employee Discipline

The inclusion of this clause in the contract could make virtually any action taken by the principals and affecting teachers subject to the grievance procedure contained in the contract. A simple reprimand for leaving students unsupervised or arriving late for class or a specific assignment could be cause for grievance. The authority role of the principal is greatly minimized by this provision.

2. Academic Freedom

This clause would allow teachers the freedom to present any instructional materials pertinent to the subject and level taught, provided that these were within the outlines of appropriate course content and within the planned instructional program. Such a clause in a contract represents standards, values, and subject matter which could lead to misunderstandings by teachers, administrators, students, and parents. Inclusion of this kind of provision in a collective bargaining agreement with teachers could most certainly make it difficult, if not impossible, for the principal to effectively manage the instructional program within the school setting

and would adversely affect his or her supervisory function.

3. School Calendar

The major purpose of the inclusion of this clause in a contract is to assure the teachers that only the minimum number of teaching days required by law will be worked. It is restrictive in that it does not allow for the flexibility necessary to extend the school year for purposes of program improvement and/or expansion.

4. Employee Work Day

Inclusion of this clause in a contract would place an undue restriction on the principal in scheduling activities such as staff meetings, parent-teacher conferences, and multi-disciplinary staffings related to specific pupil problems. Each of these represents the inclusion of two or more staff members as well as other personnel, including parents, and scheduling could become extremely difficult with such activities limited to very specific working hours for teachers. Contract language of this type would also limit teacher participation in decisions pertaining to curriculum development and improvement as there would be

little time within the confines of the regular employee work day to accomplish tasks related to curriculum study.

5. Guaranteed Preparation Time

This clause would grant teachers a specific amount of non-teaching time within the confines of the regular school day for planning and preparation. It would require that the principal make some alternate arrangement for the students otherwise assigned to the teachers at that time and may include scheduling the students to another or special class such as music or physical education. Such scheduling to accommodate the guaranteed preparation time for teachers may not necessarily be for the best interests of the students.

6. Assignment of Extra Curricular Duties

This clause would restrict the principal to making extra curricular duty assignments based on seniority, alphabetical order or some other pre-determined plan and would not allow him or her the flexibility to select those staff members with the qualifications and expertise necessary to effectively fulfill a particular assignment.



7. Teaching Load and Class Size

This language in a contract would be extremely restrictive for a principal who has absolutely no control over the number of students who are enrolled in a school. It is further restrictive in that this clause indirectly determines the plan of class organization to be used within the school and greatly reduces opportunities for introduction and implementation of innovative programs or schedules which require flexibility in class sizes and grouping of students.

8. Notification of Assignment

This provision in a contract would require that teachers be notified by a specific date of their assignment for the year. It is considered to be common practice and does allow teachers an opportunity to adequately prepare for their classes. Inclusion of this provision in the contract, however, makes it extremely difficult to change assignments as enrollments fluctuate or staff members resign. The flexibility necessary to effectively administer a school would be minimized by this contract language.

#### 9. Pupil Problems

This clause refers to the maintenance of discipline within the classroom and would require the board (or its agents) to provide support and assistance to the teacher in this regard. Such language in a contract may be interpreted by teachers to mean that the principal shall be the one to maintain discipline which places the principal in the untenable position of being responsible for a situation over which he or she has little or no control since it is the teacher, not the principal, who has direct control over the student in the classroom.

#### 10. Change of Duties or Responsibilities

This clause in a contract would suggest that the status quo be maintained within a school and that no changes be made without the approval of the teacher bargaining group. Although staff input is desirable in contemplating or implementing changes within a school, the principal should not be bound to obtain such consent before making any changes as such consent may, indeed, never be forthcoming.

Also, for purposes of this study, the following definitions as derived from the literature were utilized:

### Collective Bargaining

A process whereby employees as a group and their employers make offers and counter-offers in good faith on the conditions of their employment relationship for the purpose of reaching a mutually acceptable agreement, and the execution of a written document incorporating any such agreement if requested by either party. Also, a process whereby a representative of the employees and their employer jointly determine their conditions of employment.<sup>1</sup>

### Management Prerogatives

Rights reserved to management, which may be expressly noted as such in a collective agreement. Management prerogatives usually include the right to schedule work, to maintain order and efficiency, to hire, etc.<sup>2</sup>

### Grievance

Any complaint or expressed dissatisfaction by an employee in connection with his job, pay or other aspects of his employment. Whether such complaint or expressed dissatisfaction is formally recognized and handled as a "grievance" depends on the scope of the grievance procedure.<sup>3</sup>

### Grievance Procedure

Typically a formal plan, specified in a collective agreement, which provides for the adjustment of grievances through discussions at progressively higher levels of authority in management and the employee organization, usually culminating in arbitration if necessary. Formal plans may also be found in companies and public agencies in which there is no organization to represent employees.<sup>4</sup>

This study was an attempt to test the premise that the principal must be afforded an opportunity to protect

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<sup>1</sup>Myron Lieberman and Michael H. Moskow, Collective Negotiations for Teachers (Chicago: Rand McNally & Company, 1966), p. 418.

<sup>2</sup>Ibid., p. 424.

<sup>3</sup>Ibid., p. 421.

<sup>4</sup>Ibid.

for management those prerogatives essential for the effective administration of the school. It was also designed to provide information for principals regarding the need for awareness on their part of the provisions of collective bargaining agreements with teachers, so that they can settle grievances resulting from misapplication of contract provisions as expeditiously and amicably as possible so that all involved may proceed with the tasks of education.

This chapter has provided the foundation for the study through a statement of the purpose of the study, the identification of the problem and rationale, and a description of the method and procedures of the study, including a definition of the basic terms investigated.

Chapter II provides a review of related literature pertaining to collective negotiations in education, as well as studies related to the role of the principal in collective negotiations. Chapter III includes the presentation of the data obtained for each of the major study questions. Chapter IV provides an analysis of the data reported in Chapter III. The fifth and final chapter presents a summary of significant findings, conclusions, and recommendations for future research and practice in education.

## CHAPTER II

### REVIEW OF RELATED LITERATURE

This second chapter includes a review of literature related to collective negotiations in education, as well as studies specifically pertaining to the role of the principal in this process.

Although the direction and control of education is an inherent power of state governments, the states, through constitutional and statutory provisions, have delegated control of the day-to-day operation of schools to governing boards and their professional administrators. These traditional authority structures have long been relatively unchallenged as they use their discretion in determining and developing educational programs. During the past 20 years, however, this well-defined realm of board members and administrators has been increasingly invaded by teacher organizations, and the voice of teachers in their search for something better increasingly is being heard.

Were school administrators to name their most pressing current problems, negotiation would undoubtedly be near the top of the list, because it is persistently vexing to an increasing number of school administrators. Negotiation is accounting for marked changes in the working relationships of board members, superintendents, central office administrators and supervisors, principals, teachers, and other school personnel.

Professional teacher organizations are on the march. Many have repudiated acquiescence, abandoned passivity, and challenged the leadership of school administrators. Pressure for a more vital and greater share in educational decision making is evident in more and more school systems.

This teacher militancy has produced varied administrative reaction--dismay, disappointment, apprehension, and often antagonism. In other instances, however, the response has been one of acceptance. Those who have taken this attitude have done so in the belief that negotiation is not necessarily a destructive process, and there is a distinct possibility that it may be shaped so that it may actually strengthen teacher-administrator-board member relationships.<sup>1</sup>

A process has emerged within the last 20 years whereby the board of education, elected as representative of the people in a local school district, negotiates with its teachers as a group on salaries and other conditions of employment. Negotiation teams representing school boards and the teacher organizations enter into a bargaining relationship wherein proposals and counterproposals are made for the purpose of determining salaries, hours, conditions of employment, and grievance procedures for teachers. Lieberman and Moskow<sup>2</sup>, Perry and Wildman<sup>3</sup>, and Stinnett, Kleinmann and Ware<sup>4</sup> provide essential background information to support

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<sup>1</sup>American Association of School Administrators, The School Administrator & Negotiation (Washington, D.C.: American Association of School Administrators, 1968), p. 5.

<sup>2</sup>Myron Lieberman and Michael H. Moskow, Collective Negotiations for Teachers (Chicago: Rand McNally & Company, 1966).

<sup>3</sup>Charles R. Perry and Wesley A. Wildman, The Impact of Negotiations in Public Education: The Evidence from the Schools (Worthington, Ohio: Charles A. Jones Publishing Company, 1970).

<sup>4</sup>Stinnett, Kleinmann, and Ware, Professional Negotiation.

the concept that collective bargaining in education is an issue of crucial concern.

The growth of professional negotiations has been attributed to such factors as an increase in the number of male teachers, better educated teachers, and the desire for job security at a time when declining enrollments and financial support for schools are rapidly becoming matters of serious concern.<sup>1</sup> The encouragement of teachers to become more involved in decision making through their roles as head teachers, unit or team leaders, department chairpersons and members of various advisory committees has provided them with opportunities to become quite knowledgeable with regard to participatory decision making and ways in which this newly acquired skill may be applied to collective bargaining.

While writers cite different reasons for the growth of collective bargaining in education, all agree that it is here to stay. Illinois is no exception to the number of negotiated agreements between boards of education and organized teacher groups.

In the absence of any Illinois collective bargaining legislation, two major organized teacher forces--the Illinois Education Association and the Illinois Federation of Teachers--continue to vie for power in local school districts. They attempt to win over teacher groups to their

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<sup>1</sup>James K. Koerner, Who Controls American Education? (Boston: Beacon Press, 1968) pp. 27-43.

organizations, promising to help them gain recognition and ultimately sole bargaining rights with their local board of education. A study of collective bargaining in Illinois conducted by Ronald R. Booth and Milton Carlson<sup>1</sup> for the Illinois Association of School Boards in August, 1978, reported that the percentage of responding districts signing agreements with teachers increased from 46 per cent to 51 per cent over the previous year.

As teacher groups become more firmly established and collective bargaining becomes a way of life in school districts, school boards must of necessity consider who will represent them at the bargaining table. They turn to their superintendent and other central administrative staff members for leadership and to the school attorney for legal advice. They frequently overlook an important staff member who could well represent them, namely, the school principal. On this issue, Andree writes:

Collective bargaining among school employees is here now to stay. The most important contributor to a successful negotiation of conflicting areas is the principal of the school. It is he who deals with these problems of conflict almost daily, who understand what can and must be done. He becomes the chief administrative contributor to the dialogue that must resolve these problems. He is the school board's best resource for that resolution.<sup>2</sup>

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<sup>1</sup>Ronald R. Booth and Milton Carlson, Collective Bargaining in Illinois Schools, 1977-78 (Springfield, Illinois: Illinois Association of School Boards, 1978), p. 10.

<sup>2</sup>Robert G. Andree, Collective Negotiations, Lexington, Massachusetts: D. C. Heath and Company, 1970), p. 77.



## Studies Related to Principals and Collective Bargaining

A number of studies have been completed in recent years on collective bargaining in education and a few have specifically considered the role of the elementary principal in this process.

A study conducted by Jack Murphy<sup>1</sup> in 1971 attempted to identify the present role of the principal in negotiation, as well as to predict the future role of principals in this capacity. It included data from samplings of board presidents, superintendents, principals, and teachers of districts in ten states. Findings indicated that although there was not a considerable amount of involvement at that time, the future role of the principal would include one's active participation as a member of the administrative team and that the principal's assistance would influence the process of negotiations. The summation of the study was that although building principals had been relatively excluded from the negotiations process, their future role in negotiations might well include involvement in many areas of professional negotiations.

The purpose of research conducted by Dale Francis<sup>2</sup>

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<sup>1</sup>Jack Wayne Murphy, "A Survey to Identify the Present and Future Role of the Principal in Negotiations" (unpublished Ph.D. dissertation, Southern Illinois University, 1971).

<sup>2</sup>Dale King Francis, "Study and Analysis of the Elementary Principal's Perception of His Role in Professional Negotiations" (unpublished Ed.D. dissertation, West Virginia University, 1972).

in 1972 was to study and analyze the elementary school principals' perception of their role in professional negotiations. Specifically, determinations were sought regarding negotiating unit with which the principal was aligned, his or her satisfaction with this unit, and the principal's perceived role in negotiations. Results indicated that elementary principals were actively involved in a multiplicity of roles, but that they were dissatisfied with these roles. They perceived themselves as most satisfied when they served on the management team as participants during negotiations.

Another 1972 study was that of Charles Matthews<sup>1</sup> who investigated the perceptions of Illinois elementary principals toward problems and issues related to their role in negotiations. Specific areas included nature and impact of the principal's present role, identification of negotiation items in which principals felt a need for involvement, alternative methods by which principals felt they could best secure satisfactory representation in negotiations, and the factors contributing to principals' choice of alternative positions. Among the conclusions reached were that almost 75 per cent of the elementary principals in Illinois had little or no involvement in the negotiations process and

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<sup>1</sup>Charles Curtis Matthews, "The Role of the Elementary Principal in Collective Negotiations in Illinois" (unpublished Ed.D. dissertation, University of Illinois, 1972).

those who did have a role of great impact were members of the board team. A further conclusion was that there is a need for involvement of principals in the negotiations process which should be approached as a positive administrative procedure rather than a divisive factor threatening education.

Arlen Tieken's<sup>1</sup> study in 1973 was one of delineation of the position of the school principal as an entity in collective negotiations as perceived by principals who had experience in the negotiating process. Some of the major findings were that principals are not commonly included as participants on the negotiating team, but ideally desired to participate. A recommendation of this study was that a more definitive probe be made into the principal's involvement in the collective negotiations process to determine methods of minimum and maximum limits.

A 1976 study conducted by Piazza<sup>2</sup> reported that principals have generally been excluded from the collective bargaining process with teachers. Teacher gains achieved through the process have forced adjustments in schools which

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<sup>1</sup>Arlen Richard Tieken, "Position of the School Principal as an Entity in Collective Negotiations as Perceived by Principals in Seven Selected States" (unpublished Ph.D. dissertation, Texas A & M University, 1973).

<sup>2</sup>Charles Joseph Piazza, "A Study of the Participation of High School Principals in Collective Negotiations for Teachers in Selected School Districts from Forty-Two States" (unpublished Ed.D. dissertation, Duke University, 1976).

require administrative attention; however, the principal had but a limited voice in advising negotiators of the impact of the items being bargained. Information for this study was obtained from questionnaires sent to selected school districts in the United States which had collectively bargained with teachers for at least five years, as of 1975. Items related to the status of collective bargaining and principal participation in this activity were included in the instrument. The results showed that the authority of the principal had been defined more carefully as a result of the agreement and that in the process the principal's authority had been reduced.

Principal involvement was described as indirect and consisted of informal discussions prior to and during the course of negotiations. For the most part, involvement ended here and generally principals were not included on the bargaining team for the board. The study further reported that the principals included preferred to participate as members of the management team in collective bargaining with the teachers.

A study conducted by Therese Daugirdas<sup>1</sup> in 1978 was based on the premise that the managerial functions and

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<sup>1</sup>Therese Nijole Daugirdas, "An Analysis of the Managerial Functions of the Elementary School Principal as Reflected in Professional Literature and as Stated in the Professional Negotiations Agreements of Selected Districts" (unpublished Ed.D. dissertation, Loyola University, 1979).

discretionary powers of the principal are changing, and perhaps diminishing as a result of the scope of professional negotiations agreements. The study revealed among other things that the greatest number of restrictions were found in the area of staff personnel, followed by instruction and curriculum and pupil personnel. Among the recommendations for further study was that of a study identifying the extent, frequency and effectiveness of elementary school principals' involvement in professional negotiations.

#### The Role of the Principal in Negotiations

The role of principals in negotiations is perceived as a major problem by many writers in education. Andree, in his writing on the role of the principal in collective bargaining, tells us that the role of the public school principal in collective bargaining has been one of the seriously neglected areas in personnel relations. He said:

The role of the public school elementary or secondary school principal in collective bargaining has been one of the seriously neglected areas in personnel relations. Two interesting trends in current administrative thought and public reaction are changing this sad state of affairs. Professional journals are beginning to include articles that label school boards as the rascals who have held down educational progress. Now, they say, (1) professional negotiations (really collective bargaining) will save us all from a morass of despair, particularly if we rely more heavily on our school principals, and (2) the principal is the key man in negotiation. The reason we have excluded him previously is that he didn't ask to be included. Let him try, since

no one in our school systems has yet solved the great problems of negotiation.<sup>1</sup>

In a publication of the National Association of Secondary School Principals, Hatch stressed the need for principals to be involved in the collective negotiations process, as follows:

To not involve principals in the vital process of negotiating working conditions is risky business. Not only is a wealth of sound wisdom neglected but the chance of reaching an agreement that can be implemented and administered is diminished.<sup>2</sup>

In concert with other writers in the field, Bailey and Booth recognize the importance of building level administrators in the development and management of collective bargaining agreements with teachers. They wrote:

Building level administrators are vitally important to the bargaining process. They alone will interpret the contract on a day-to-day basis. They, therefore, must be involved in developing bargaining goals and strategies and must be trained to administer the contract. Principals should also be represented on the board's bargaining team. If not, the impact of bargaining issues on the school will not be carefully considered; the contract will be poorly administered; and if left out, principals may also turn to collective bargaining to protect their self interests.<sup>3</sup>

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<sup>1</sup>Andree, Collective Negotiations, p. 69.

<sup>2</sup>Terrance E. Hatch, "The Principal's Role in Collective Negotiations" NASSP Bulletin (Reston, Va. 22209: National Association of Secondary School Principals, December, 1971), p. 31.

<sup>3</sup>Max A. Bailey and Ronald R. Booth, Collective Bargaining and the School Board Member (Springfield, Il.: Illinois Association of School Boards, 1978), p. 42.

On the matter of grievances and the school principal, Hatch stated:

School districts have made principals responsible for administering the first step of the grievance procedure, without one principal having been involved in the formulation of the content of the master agreement or the development of the grievance procedure.<sup>1</sup>

The need for principals to be well informed on the matter of contract provisions is further supported by the Booth-Carlson report on Collective Bargaining in Illinois Schools in 1977-1978 which states:

Across the state there was a large increase in the percentage of districts reporting a grievance procedure going to binding arbitration and a corresponding decrease in the percentage of districts reporting grievance procedures going to the board only.<sup>2</sup>

Epstein, another writer who supports the position that principals should be considered as key figures in negotiations, stated:

In any negotiating process, principals, whose experience and activities give them a critical overall knowledge of the day-to-day functioning of the total school, can contribute uniquely to the discussion of items under consideration. The counsel, criticism, and contributions of principals at the negotiating table can be of invaluable service to teachers, school boards, and superintendents in reaching decisions that can produce better schools.

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<sup>1</sup>Hatch, "The Principal's Role in Collective Negotiations," p. 28.

<sup>2</sup>Booth and Carlson, Collective Bargaining in Illinois Schools, p. 22.

<sup>3</sup>Benjamin Epstein, The Principal's Role in Collective Negotiations Between Teachers and School Boards (Washington, D.C.: National Association of Secondary School Principals, 1965), pp. 5-6.

Melton, in urging principals to re-examine their traditional roles and to reappraise and restructure them so they may have a firm grasp on what they ought to be, said:

If the principal is not to forfeit his claim to that position of educational leadership to which he rightfully aspires, he must be eager to take the lead in channeling the forces of change so that they benefit his school and its learning process.<sup>1</sup>

Stone, who serves as a principal and the chief negotiator for his school district, calls for extensive cooperation between school administrators and the school board in collective bargaining activities so that a realistic contract may be negotiated. Since school board members cannot be expected to comprehend the daily routine in a school, the presence of a principal on the negotiating team is imperative. He said:

Often, boards of education are willing to consider teacher proposals which, from the building administrator's vantage, are impractical, unmanageable, and potentially costly to the total system. Unless members of the board involve themselves in an examination of the impact collective bargaining is manifesting on public education and remain acutely aware of the essential administrative aspects of the educational process, decisions relevant to a negotiated agreement could prove devastating.

It is unreasonable to expect elected members of the board to be cognizant of day-to-day administrative routine and to anticipate the effect of articles pertaining to teaching duties, class size and load, curriculum reform, extracurricular assignments, and staff development. However, it is reasonable and advisable that members of the board safeguard the interests of the general public by selecting and conferring with a

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<sup>1</sup>George E. Melton, "Job Specifications for Principals," The Principalship: Job Specifications & Salary Considerations for the 70's (Washington, D.C: National Association of Secondary School Principals, 1970), p. 1.



thoughtfully articulated team of negotiators who, by their positions on the team, can accurately reflect the educational, financial, and political views of the board with respect to bargainable areas.<sup>1</sup>

### Management Prerogatives and Collective Bargaining Agreements

Wildman and Perry consider the inclusion of management rights in a negotiated contract with teachers and conclude the statement with an observation that the school principal loses freedom to exercise judgment in these matters when they are included in the contract:

A review of developments in negotiation relationships reveals a number of conflict questions which are not directly financial but involve the establishment of procedures and standards for certain crucial decisions or actions within the system. Among these issues can be included the following:

What is an optimal or reasonable maximum class size for various schools within the system?

To what extent should seniority be used as a criterion in such decisions as assignment of classes, promotions, and transfers?

To what extent should teaching assignments (e.g., more as opposed to fewer "difficult" classes) and nonteaching assignments be strictly rotated as a matter of equity within the teacher group, as opposed to being distributed in accordance with a principal's judgment or relative ability or contribution to the overall school program?

To what extent should the length of the teaching day be clearly defined and limited? To what extent

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<sup>1</sup>Ronald F. Stone, "Board-Administration Teamwork in Collective Bargaining," NASSP Bulletin (Reston, Va. 22209: National Association of Secondary School Principals, November, 1978), pp. 108-109.

should the frequency and length of after-school faculty meetings be limited on a system-wide basis?

On issues such as these, teachers' views of what is right or just have conflicted with the desires of the administration to exercise fully its responsibility to staff the schools, assign teachers and students, and, in general, administer the educational enterprise. Where the teachers' views are accepted, wholly or in part, and regulations are established in these areas, administrative flexibility and discretion are lost at some level in the system.

For the most part, it is the school principal who loses freedom to exercise his judgment in these areas. His discretion is curbed by the teacher group and the party responsible for negotiations on the board side of a relationship, who jointly establish standards for such administrative decisions.<sup>1</sup>

The development of collective bargaining in education has had a definite impact on the role of the principal and has resulted in a change of status and relationships. In 1966, Epstein<sup>2</sup> discussed "negotiations vs. bargaining" in an essay review, and Watson<sup>3</sup> noted that the principal was a forgotten man in negotiations because he was generally excluded from the bargaining process. Lutz<sup>4</sup> stated, "While the pro-

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<sup>1</sup>Wesley A. Wildman and Charles R. Perry, "Group Conflict and School Organization," Phi Delta Kappan (Bloomington, Indiana 47401: Phi Delta Kappa, Inc., January, 1966), p. 250.

<sup>2</sup>Benjamin Epstein, "Negotiations Versus Bargaining" NASSP Bulletin (Reston, Va. 22209: National Association of Secondary School Principals, 1966), pp. 103-110.

<sup>3</sup>Bernard C. Watson, "The Principal: Forgotten Man in Negotiations," Administrator's Notebook, October, 1966.

<sup>4</sup>Frank W. Lutz, "A Symposium on Collective Negotiations in Education," Council for Administrative Leadership, June, 1968, p. 45.

cess goes on the principal can only stand on the sidelines and hope he survives the contract." In summary, he noted:

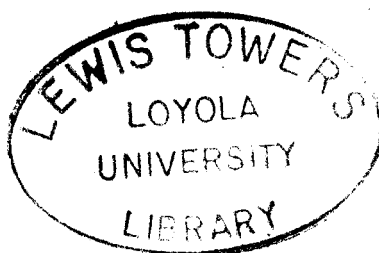
Principals often feel left out of the negotiation process and defeated by the contract that is negotiated. Boards should provide principals with an effective role in the negotiating process.<sup>1</sup>

The purpose of this review of the literature has been to provide some background information on the complexities of collective bargaining in education and to examine specific studies and writings pertaining to the role of the principal in this process. The results of this review indicate that the research questions presented on Pages 8 and 9 are important determinants of the participation of principals in collective bargaining with teachers.

Chapter III provides detailed information on the procedures used and the data collected and reported in this study.

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<sup>1</sup>Ibid.



## CHAPTER III

### PRESENTATION OF DATA

This third chapter provides a description of the data as these pertain to the research questions previously stated in Chapter I, as well as detailed information on the sources of data and the method and procedure used to obtain the data.

#### Method and Procedure

A survey by mail was conducted of the 114 elementary school districts in suburban Cook County to determine which, if any, had negotiated collective bargaining agreements with teachers (see Appendix). Returns were tabulated to identify those districts which had included selected management prerogatives in their agreements, as well as a grievance procedure which terminated with binding arbitration.

Responses were received from 106 of the districts surveyed and 71 reported the existence of a master contract which included salary, fringe benefits, and working conditions. Of this number, 50 districts reported a contract which contained at least four management prerogatives; 69 of the 71 districts reported the existence of a

contract which contained a grievance procedure, with 39 of these terminating with binding arbitration.

The 71 districts represented a total of 445 principals; however, to determine that a sufficient number of them were involved in the development of collective bargaining agreements with teachers, a telephone survey of the superintendents of 25 randomly selected districts from the original 71 was conducted (see Appendix). This random sample represented 177 principals. Superintendents were asked what role, if any, the principals of their respective districts had in the development of the collective bargaining agreements with their teachers and 17 responded that the principal was directly involved either as a member of or advisor to the management team. Several superintendents further volunteered the information that the principal was an important member of the team in that he or she provided the board with valuable information regarding the problems inherent in the inclusion of certain management prerogatives in the contract.

Following the aforementioned activities, a questionnaire was designed to be used to obtain information from the principals of the 71 districts regarding their role in the development of the collective bargaining agreement. Information was also obtained regarding satisfaction with this role, as well as the preferred role of the principal in negotiations. Data on the possible influence of the

role of the principal on the inclusion of management prerogatives in the contract were also obtained, as were data pertaining to the frequency and extent of the use of the grievance procedure to interpret and manage the contract.

The questionnaire was field tested with four principals who were not included in the study and each offered suggestions for modifications which were later incorporated into the final instrument. Ease of completion and ready availability of information required were primary considerations of the principals tested, all of whom indicated a willingness to complete survey instruments which contained straightforward and direct questions and an unwillingness to respond to lengthy survey instruments which included open-ended questions and required specific data not readily available to the respondent.

A copy of the questionnaire and a letter requesting cooperation with completion and prompt return was mailed to each of the 445 principals represented in the 71 school districts included in the survey (see Appendix). A stamped envelope addressed to the researcher was included for ease of response. A follow-up letter was mailed to the superintendent of each of the 71 districts requesting his or her assistance in encouraging principals to complete and return the questionnaire (see Appendix).

### Sources of Data

Responses were received from 204 principals, with three disqualifying themselves since in two instances they served as principals of junior high schools and the study was of elementary principals, and in the other instance, the contract between the teachers' organization and the board had recently been terminated by board action. The respondents represented 69 of the 71 districts included in the study.

Certain demographic and personal data were included in the survey instrument as same may have had relationship to the research questions being studied. These data included enrollment and number of teachers in a school, sex, approximate age, training and experience of the respondents.

Frequency counts were completed and percentages calculated for the responses. The majority of the respondents, 46.8%, served as principals of schools with enrollments of 400 or more students and 39.88% supervised a staff of 25 or more teachers.

A small percentage, 16.22%, of the respondents were women. The age range of the respondents varied, with the greater percentage being between the ages of 41 to 45.

All principals surveyed held a minimum of a Mas-

ter's degree and 72.07% of them had completed additional college or university course work within the last five years.

Of the respondents, 57.29% had had six or more years of teaching experience prior to becoming an administrator and 57.79% had served as administrators for a minimum of nine years. Information on experience in the district was also obtained and 67.36% reported service in excess of seven years in the present district.

In the matter of previous teacher organization experience, 66.86% had had previous affiliation with the Illinois Education Association, with 27.11% of them having served as members of a teacher team in bargaining with a board of education.

#### Role of the Principal in Collective Bargaining

Several writers in the field of collective negotiations in education--namely, Andree<sup>1</sup>, Hatch<sup>2</sup>, and Epstein<sup>3</sup>--suggested that the role of the principal in the development of collective bargaining agreements with teachers was that of alignment with the management team.

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<sup>1</sup>Andree, Collective Negotiations.

<sup>2</sup>Hatch, "The Principal's Role in Collective Negotiations."

<sup>3</sup>Epstein, The Principal's Role in Collective Negotiations Between Teachers and School Boards.



One of the purposes of this study was to compare this suggested role with the actual role of elementary principals in schools in suburban Cook County in this process as well as to obtain information from these principals regarding their satisfaction with this role and their preferred status in this regard.

The first research question considered was that of identification of the actual role of the principal respondents in the development of the existing collective bargaining agreement with teachers of the schools which they served as principals. Data for this question were obtained from responses to a specific survey item, as follows:

What is your present status in the development of the collective bargaining agreement with the teachers in your school?

- a. Member of the management team
- b. Advisor to the management team
- c. Advisor to the teacher team
- d. Member of the teacher team
- e. No participation

Frequency counts were completed and percentages calculated for the responses. These responses as reported in Table 1 indicated that principals in suburban Cook County were aligned with the management team in the development of collective bargaining agreements with teachers in slightly less than half of the schools represented

by principals included in this study. Of those who were aligned with management, the greater percentage served as advisors to the management team; however, some had actually served as members of the team which bargained with the teacher organization.

TABLE 1  
ROLE OF PRINCIPALS IN DEVELOPMENT OF COLLECTIVE  
BARGAINING AGREEMENTS WITH TEACHERS

Role	No.	Respondents	
		Per Cent	
Member management team	24	12.24	
Advisor management team	58	29.59	
Advisor teacher team	1	.51	
Member teacher team	0	0.00	
No participation	113	57.65	
Total	196	100.00	

N = 196

The responses to this question were studied further to determine whether or not other variables considered in this study--namely, school enrollment, number of teachers within the school, and training and experience of the respondents--had a relationship to the alignment of the principal with the management team.

Several of the respondents indicated that service with the management team was time consuming, especially during the actual time of the formal negotiations; however, the greatest percentage of those who had served in this capacity

were from schools with enrollments in excess of 400 students with a teaching staff of 25 or more teachers, while the majority of their counterparts from schools with lesser enrollments and numbers of teachers reported no participation in negotiations with the teacher organization. These data are further reported in Tables 2 and 3.

TABLE 2

THE NEGOTIATING ROLE OF THE PRINCIPAL IN SCHOOLS  
OF VARYING ENROLLMENTS

School Enrollment	Member Management Team		Advisor Management Team		Advisor Teacher Team		No Participation	
	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent
250 and less	2	9.09	9	18.37	0	0.00	14	14.14
250 to 400	8	36.36	19	38.78	0	0.00	38	38.38
400 to 499	12	54.55	21	42.86	1	100.00	47	47.47
Total	22	100.00	49	100.00	1	100.00	99	100.00

N = 171

TABLE 3

THE NEGOTIATING ROLE OF THE PRINCIPAL IN SCHOOLS  
OF VARYING NUMBER OF TEACHERS

No. of Teachers	Member Management Team		Advisor Management Team		Advisor Teacher Team		No Participation	
	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent
15 and less	3	13.64	13	27.66	0	0.00	22	23.40
15 to 25	6	27.27	18	38.30	0	0.00	36	38.30
25 to 99	13	59.09	16	34.04	1	100.00	36	38.30
Total	22	100.00	47	100.00	1	100.00	94	100.00

N = 164

Other variables considered were sex, approximate age, training, prior teacher organization affiliation and negotiating experience. Respondents who reported having served on the management team included 95.45% men and 4.55% women, with the greatest number, 37.50%, having been in the 36-40 age range. Of those who served as advisor to the management team, 90.74% were male and 9.26% were female, with the greatest number, 25.86%, having been in the 41-45 age range.

Considering training and experience, 95.65% of the principals who served as members of the management team and 87.93% of those who served as advisors held a Master's degree. Seventy-five per cent of those who were on the team and 65.31% of those who served as advisors had completed some of their formal training since 1975, while 64.70% of the former group and 44% of the latter group had had some specific training for negotiations; however, 35.29% of those who served as team members and 56% of those who served as advisors had not had training for this assignment.

Prior experience, both as a teacher and administrator, as well as within the current school district, were factors which were also studied. The majority, 62.50%, of principals who served as members of the management team had had teaching experience in excess of six years. Slightly less than one-half of the principals who served as members

of or advisors to the management team had been administrators for a minimum of nine years. The majority of the principals who served as members of or advisors to the management team had had experience within the district in excess of seven years.

Previous teacher organization affiliation and negotiations experience were factors also considered, with 64.71% of those who served on the management team and 73.08% of those who served as advisors having previously been affiliated with the Illinois Education Association. Prior negotiations experience included 64.71% of those who were on the board team having previously served in that capacity, while only 29.27% of those who served as advisors had previously been on the board team.

#### Principal Satisfaction with Role in Collective Bargaining

The second research question considered in this study was directly concerned with the matter of the satisfaction of the principal with his or her role in bargaining with teachers. Data for consideration were obtained from responses to a specific survey item which required respondents to choose one of five categories of satisfaction ranging from a high of very satisfied to a low of not satisfied. Responses by percentages as reported in Table 4 indicated a variance in the degree of satisfaction of the principals

with their present role, with approximately 63% of the respondents reporting some degree of satisfaction with the role.

TABLE 4  
DEGREE OF SATISFACTION OF PRINCIPAL WITH  
ROLE IN COLLECTIVE BARGAINING

Degree of Satisfaction	No.	Respondents	
		Per Cent	
Very satisfied	60	30.30	
Quite satisfied	29	14.65	
Satisfied	54	27.27	
Somewhat satisfied	23	11.62	
Not satisfied	32	16.16	
Total	198	100.00	

N = 198

The same variables which were considered in the first research question--namely, those pertaining to enrollment and number of teachers within a school, as well as training and experience of the respondents--were reviewed for this question to determine whether or not there was any significant relationship between these and principal satisfaction with the role in collective bargaining.

In the matter of school enrollment and number of teachers supervised, the majority of those principals of schools with enrollments in excess of 400 and numbers of teachers in excess of 25 were generally satisfied with their present role in the development of collective bar-

gaining agreements with teachers. This same response held true in relationship to the level of training of the respondents, with those who had completed college or university course work within the last five years indicating general satisfaction with their role in collective bargaining. The least degree of satisfaction with their role in this regard was reported by those principals who had had no training for this assignment.

Experience as a teacher, an administrator, and within the current school district were factors which were also considered in relationship to the satisfaction of the principal with his or her role in negotiations. Slightly more than one-half, 56.67%, of those who were most satisfied with their role in negotiations had had six or more years of teaching experience. In the classification of not satisfied, a similar situation was true as 56.25% of the respondents in this category had completed six or more years of experience as a teacher. In the classification of experience as an administrator, the greatest percentage in each category had had nine or more years of experience as an administrator. In this classification were 65.52% of those who reported quite satisfied.

Another factor considered was that of previous teacher organization affiliation and previous negotiations experience. The majority of those most satisfied, 63.27%, had had affiliation with the Illinois Education Association,

while 53.57% of those least satisfied had had similar affiliations. Of those who reported most satisfied with the present role, 40.43% had had no prior negotiations experience, while 48.28% of the least satisfied group had had no prior negotiations experience.

A comparison--which is reported in Table 5-- was made between the degree of satisfaction of the principal with his or her role in collective bargaining and the actual role of the principal in the development of the existing contract. Of those respondents who had served with the management team, the majority were satisfied with their role, with a very insignificant number of the group reporting dissatisfaction.

TABLE 5  
PRINCIPAL SATISFACTION WITH ROLE IN  
COLLECTIVE BARGAINING

Degree of Satisfaction	Member Management Team		Advisor Management Team		Advisor Teacher Team		No Participation	
	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent
Very satisfied	15	62.50	21	36.84	1	100.00	22	19.64
Quite satisfied	7	29.17	12	21.05	0	0.00	10	8.93
Satisfied	1	4.17	20	35.09	0	0.00	33	29.46
Somewhat satisfied	0	0.00	2	3.51	0	0.00	20	17.86
Not satisfied	1	4.17	2	3.51	0	0.00	27	24.11
Total	24	100.01	57	100.00	1	100.00	112	100.00

N = 194



### Preferred Role of the Principal in Collective Bargaining

The third research question considered the preferred role of the principal in the development of collective bargaining agreements with teachers. Data for this question were obtained from the responses to a question on the survey instrument which required respondents to choose one of five roles which ranged from member of the management team to advisor to the management team, advisor to the teacher team, member of the teacher team, or no participation.

Percentage calculations, which were completed and recorded in Table 6, indicated that the majority, 75.92%, of the principals included in this study preferred the role suggested for them in the literature--namely, that of being aligned with the management team either as members of or advisors to the team. None of the respondents selected to serve either as advisor to or member of the teacher team; however, approximately one-fourth, or 24%, of them indicated a preference of no participation in the development of collective bargaining agreements with teachers.

TABLE 6  
PREFERRED ROLE OF PRINCIPALS IN  
COLLECTIVE BARGAINING

Preferred Status	No.	Respondents Per Cent
Member of management team	36	18.85
Advisor to management team	109	57.07
Advisor to teacher team	0	0.00
Member of teacher team	0	0.00
No participation	46	24.08
Total	191	100.00

N = 191

The data by school enrollment and number of teachers in the school revealed that the greatest percentage, 43.75%, of those who preferred to serve on the management team were from schools with enrollments in excess of 400, while the greatest percentage, 45.24%, who selected no participation were from schools with an enrollment of 250-400. An analysis of information based on number of teachers within a school revealed that of principals who selected to serve on the management team, 40.63% were from schools with 25 or more teachers, while of those who selected no participation, 41.03% were from schools with a similar number of teachers.

Of the respondents who selected to serve on the management team, 88.89% were male, while 11.11% were female. Of those who selected no participation, 67.44% were male and 32.56% were female. The majority of respondents,

38.89%, who selected to be on the management team were in the 36-40 age range, while 31.82% of those who selected not to participate were 50 years of age or older.

Considering the level of training as it may have influenced the preference of principals for a role in collective bargaining, 77.78% of those who selected to be members of the team held a Master's degree, while 88.89% of those who selected no participation had had similar training. Course completion since 1975 was reported for 84.85% of those who selected to serve on the management team, while 75% of those who selected no participation had completed course work since 1975. Of the respondents who selected to serve on the management team, 55.56% had had some kind of training for negotiations, while of those who selected not to participate, only 25% had had any training for this task.

The majority, 66.67%, of the respondents who preferred to serve as member of the management team had had nine or more years of experience as an administrator. In the matter of experience within their district, 75.56% of those who selected not to participate had had seven or more years within their district, while a slightly lesser percentage, 69.23%, of those who selected to serve as advisor to the management team had had similar experience within their district.

Prior teacher organization affiliation was reported to be with the Illinois Education Association by 62.07% of those who selected to serve on the management team and by 60% of those who selected not to participate. Considering prior negotiations experience, 46.15% of those who selected to serve on the management team had previously served in such capacity, while another 15.38% had served on a teacher team and 38.46% had not had prior negotiations experience. Of those who selected no participation, 11.11% had previously served on a board team, while 37.78% had served on a teacher team and another 51.11% had not had prior negotiations experience.

#### Actual vs. Preferred Role of Principals in Collective Bargaining

A comparison of the actual and preferred role of the principal in the development of collective bargaining agreements with teachers was completed and is reported in Table 7. Of those principals who had served on the management team, 69.57% preferred this role, while 26.09% preferred the role of advisor to the management team. A negligible percentage, 4.35%, of those who had served on the management team preferred not to have participated. Included in the group who had served as advisors to the management team were 85.45% who preferred that role, while another 14.55% would have preferred to serve as a member

of that team. The one principal who reported having served as advisor to the teacher team would have preferred to serve as advisor to the management team.

Slightly less than 50% of the principals who had not participated in the development of the collective bargaining agreement with teachers would have preferred to serve as advisors to the management team, while approximately 40% of those who had not participated preferred to continue in the role of non-participant.

TABLE 7

COMPARISON: PREFERRED vs. ACTUAL ROLE OF  
PRINCIPALS IN COLLECTIVE BARGAINING

Preferred Role	Actual Role							
	Member Management Team		Advisor Management Team		Advisor Teacher Team		No Participation	
	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent
Member management team	16	69.57	8	14.55	0	0.00	12	11.01
Advisor management team	6	26.09	47	85.45	1	100.00	53	48.62
No participation	1	4.35	0	0.00	0	0.00	44	40.37
Total	23	100.01	55	100.00	1	100.00	109	100.00

N = 188

The majority of principals who had served on the management team preferred this role, while a small number of those who had served in this capacity indicated a preference to serve as advisors to the team. A negligible percentage of those who did serve on the board team preferred not to have participated. Of the principals who had not had an opportunity to serve, the majority would have chosen to serve either as members of or advisors to the management team.

#### Role of the Principal and Kinds of Management Prerogatives

Included in the stated purposes of this study was consideration of the role of the principal in the development of collective bargaining as same may have affected the inclusion of selected management prerogatives in the final contract.

The fourth research question in this study was that of determining input of principals in the decision to include selected management prerogatives in the collective bargaining agreement with the teacher group.

Prior to consideration of information for the specific research question, respondents were asked to indicate which, if any, of the selected management prerogatives were included in the existing contract in their respective school districts. This was then followed by

a question pertaining to their specific involvement in the decision to include these prerogatives in the contract.

A percentage tabulation of the responses to the question pertaining to which items were included revealed that of the contracts administered by the principals in the study, 47.50% included an employee discipline clause; 44.50% included academic freedom; 49.50% included school calendar; 66.50% included employee work day; 56% included guaranteed preparation time; 53.5% included assignment of extra-curricular duties; 39.50% included teaching load and class size; 75% included notification of assignments. Thirty-six per cent of the contracts included a clause pertaining to pupil problems, while 62.81% included a change of duties and responsibilities clause. These data are further reported in Table 8.

TABLE 8

MANAGEMENT PREROGATIVES INCLUDED IN COLLECTIVE BARGAINING AGREEMENTS ADMINISTERED  
BY PRINCIPALS IN SELECTED COOK COUNTY ELEMENTARY SCHOOL DISTRICTS

Included in Contract	Employee Discipline		Academic Freedom		School Calendar		Employee Work Day		Guaranteed Preparation Time	
	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent
Yes	95	47.50	88	44.50	99	49.50	133	66.50	112	56.00
No	105	52.50	111	55.50	101	50.50	67	33.50	88	44.00
Total	200	100.00	199	100.00	200	100.00	200	100.00	200	100.00
Included in Contract	Assignment of Extra-curricular Duties		Teaching Load and Class Size		Notification of Assignments		Pupil Problems		Change of Du- ties or Res- ponsibilities	
	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent
Yes	107	53.50	79	39.50	150	75.00	72	36.00	125	62.81
No	93	46.50	121	60.50	50	25.00	128	64.00	74	37.19
Total	200	100.00	200	100.00	200	100.00	200	100.00	199	100.00



Data for the specific research question were obtained by requesting the respondents to indicate their particular involvement in the decision to include selected management prerogatives in the contract. Response choices included made the decision, recommended the decision, provided information for the decision, recommended non-inclusion of the prerogative, or no participation in the decision to include the item.

In each instance of a management prerogative which was included in a contract, at least one-half of the respondents indicated no involvement in the decision to include the specific management prerogative. Thirty per cent or less of the respondents provided information for the decision, while a negligible percentage recommended inclusion of the specific prerogatives.

Although slightly less than one-half of the respondents, 47.50%, reported a contract clause which pertained to employee discipline, only 28.26% provided information for the decision, while another 5.07% recommended the decision to include the item.

An academic freedom clause was reported by 44.50% of the respondents as included in the existing contract; however, only 18.57% of them provided information for the decision to include this item, while 75.71% reported no participation in the decision to include academic freedom in the final contract.

A clause pertaining to the school calendar was included in approximately one-half of the contracts administered by the principals included in this study. Less than one-third, 29.05%, of them provided information for the decision to include the clause, while slightly more than 7% recommended the decision to include it.

The employee work day was included in considerably more than one-half, 66.5%, of the contracts reported herein with principal participation in the decision to include such a clause limited to 29.56% who provided information for the decision and another 6.92% who recommended the decision.

Guaranteed preparation time was included in 56% of the contracts administered by the participants in this study; however, a small percentage, 25.68%, of them provided information for the decision to include the clause, while 4.05% recommended the decision and another 6.21% recommended non-inclusion.

Assignment of extra-curricular duties was reported as included in contracts administered by slightly more than one-half of the respondents. Less than 30% of them had provided information for the decision to include the clause, while another very small percentage, 7.45%, recommended the decision to include assignment of extra-curricular duties as a contract clause.

A clause pertaining to teaching load and class size was reported as included in 39.5% of the contracts

represented by the respondents in this study, with a small percentage, 19.01%, having provided information for the decision and only 4.23% having recommended the decision. Another small percentage, 8.45%, recommended non-inclusion of teaching load and class size as a clause in the contract.

Notification of assignments was reported by 75% of the respondents as being included in the contract which they administered. Slightly less than 30% of them provided information for the decision to include this item, while 6.10% recommended the decision and a negligible percentage, 4.05%, recommended non-inclusion of the item.

The matter of pupil problems was included in 36% of the contracts administered by the principals in this study. Less than 30% of the respondents reported having provided information for the decision to include this item, with a negligible percentage having recommended the decision.

Change of duties or responsibilities was reported as included in 62.81% of the contracts administered by the principals in this study. In this instance, 31.01% of the principals had provided information for the decision to include the clause and another 5.06% had recommended the decision.

All of the data reported for this specific question are further reported in Table 9. It should be noted

here that respondents may have misinterpreted the category of "none" to mean not included in the contract rather than no involvement in the decision to include specific prerogatives; thus, there is a slight discrepancy between the data reported in Table 8 regarding the number of contracts containing a specific prerogative and the total number of respondents listed in Table 9 reporting involvement in the decision to include a specific prerogative.

TABLE 9  
PRINCIPAL INVOLVEMENT IN INCLUSION OF MANAGEMENT PREROGATIVES IN CONTRACT

Principal Involvement	Employee Discipline		Academic Freedom		School Calendar		Employee Work Day		Guaranteed Preparation Time	
	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent
Made decision									1	.68
Recommended decision	7	5.07	3	2.14	11	7.43	11	6.92	6	4.05
Provided info. for decision	39	28.26	26	18.57	43	29.05	47	29.56	38	25.68
Recommended non-inclusion	4	2.90	5	3.57	10	6.76	8	5.03	10	6.21
None	88	63.66	106	75.71	84	56.76	93	58.49	95	64.19
Total	138	100.00	140	100.00	148	100.00	159	100.00	148	100.00
Principal Involvement	Assignment of Extra-curricular Duties		Teaching Load and Class Size		Notification of Assignments		Pupil Problems		Change of Duties or Responsibilities	
	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent
Made decision	2	1.24	3	2.11	3	1.83	2	1.35	2	1.27
Recommended decision	12	7.45	6	4.23	10	6.10	7	4.73	8	5.06
Provided info. for decision	47	29.19	27	19.01	47	28.66	42	28.38	49	31.01
Recommended non-inclusion	10	6.21	12	8.45	6	3.05	6	4.05	6	3.80
None	90	55.90	94	66.20	99	60.37	91	61.49	93	58.86
Total	161	100.00	142	100.00	164	100.00	148	100.00	158	100.00

Role of Principals and Number of  
Management Prerogatives in  
Contracts

The fifth research question considered the possible effects of the role of the principal in the development of collective bargaining agreements with teachers and the number of management prerogatives included in the final contract. If the principal had served as a member of or advisor to the management team, was the number of management prerogatives included in the final contract lesser or greater than in those instances where the principal had not served in this capacity?

Data for this question--which are reported in Table 10--were obtained by completing a cross tabulation of the five categories of possible principal involvement in collective bargaining with teachers with the number of management prerogatives included in the final contract. In the instances where principals had served on the management team, the greatest percentage, 33.3%, reported a contract which contained six management prerogatives, while 16.7% reported the inclusion of four and seven management prerogatives, respectively. Inclusion of only one management prerogative in the final contract was reported by 12.5%, while 4.2% reported inclusion of two, five, and nine prerogatives, respectively, and none reported contracts with zero, eight, or ten prerogatives.

A similar comparison was completed for those principals who had served as advisor to the management team, and of these, the largest percentage, 13.8%, reported inclusion of three, four, eight, and nine prerogatives, respectively; while 10.3% reported inclusion of seven prerogatives; 8.6% reported inclusion of one and five prerogatives, respectively; 6.9% reported inclusion of six prerogatives; and 3.4% reported zero, two, and ten prerogatives, respectively.

In instances where principals reported no participation in the decision to include management prerogatives in the contract, the greatest percentage of respondents, 15%, indicated inclusion of seven management prerogatives, while 14.2% reported inclusion of four and six, respectively. Reporting inclusion of eight prerogatives were 9.7%; 8.8% reported inclusion of three prerogatives; 8% reported five prerogatives; 7.1% reported ten prerogatives; 6.2% reported nine prerogatives; and 3.5% reported one prerogative included; with 2.7% reporting no inclusion of management prerogatives in the contract.

TABLE 10

PRINCIPAL ROLE AND NUMBER OF MANAGEMENT  
PREROGATIVES IN CONTRACT

Number of Management Prerogatives	Role of Principal							
	Member Management Team		Advisor Management Team		Advisor Teacher Team		No Partici- pation	
	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent
0	0	0.0	2	3.4	0	0.0	3	2.7
1	3	12.5	5	8.6	0	0.0	4	3.5
2	1	4.2	2	3.4	0	0.0	12	10.6
3	2	8.3	8	13.8	0	0/0	10	8.8
4	4	16.4	8	13.8	0	0.0	16	14.2
5	1	4.2	5	8.6	1	100.0	9	8.0
6	8	33.3	4	6.9	0	0.0	16	14.2
7	4	16.7	6	10.3	0	0.0	17	15.0
8	0	0.0	8	13.8	0	0.0	11	9.7
9	1	4.2	8	13.8	0	0.0	7	6.2
10	0	0.0	2	3.4	0	0.0	8	7.1
Total	24	99.8	58	99.8	0	100.0	113	100.0



## Role of the Principal and Grievances

The final portion of this study considered the grievance procedure as it was contained in the collective bargaining agreement with teachers and as it was applied to the interpretation and management of the contracts being administered by the principals included in the study.

Three research questions were developed for this segment of the study:

1. Is the grievance procedure being used to manage and interpret the collective bargaining agreement?
2. Is there a significant difference between the role of the elementary principal in the development of collective bargaining agreements with teachers and the number and kind of grievances filed at the principal (building) level?
3. Is there a significant difference between the role of the elementary principal in the development of collective bargaining agreements with teachers and the number of grievances settled at the principal (building) level?

Data for these questions were obtained from an analysis of the responses provided to questions included in the survey instrument which required information on the

inclusion of a grievance procedure in the contract, limitations and termination of this grievance procedure, as well as number of grievances filed in a four-year period.

The opinion of the respondents regarding the extent to which the number of grievances filed had increased or decreased as a result of their participation in the development of the collective bargaining agreement with teachers was obtained. Information regarding the step at which any grievances had been settled was also collected.

Prior to consideration of the data for the specific research questions, responses to the survey items related to the inclusion of a grievance procedure and termination provisions were reviewed and are reported in Table 11.

The majority of the respondents, 97.99%, reported a contract which included a grievance procedure. A total of 62.71% reported that it terminated with binding arbitration.

TABLE 11  
STATUS OF GRIEVANCE PROCEDURE INCLUDED IN  
COLLECTIVE BARGAINING AGREEMENTS ADMIN-  
ISTERED BY PRINCIPALS IN SELECTED COOK  
COUNTY ELEMENTARY SCHOOL DISTRICTS

	Included in Contract		Terminated with Binding Arbitration	
	No.	Per Cent	No.	Per Cent
Yes	195	97.99	111	62.71
No	4	2.01	66	37.29
Total	199	100.00	177	100.00

Use of Grievance Procedure for Contract  
Management or Interpretation

Information for the research question which specifically considered the use of the grievance procedure to manage or interpret the contracts represented in this study was obtained from a comparison of the number of grievances filed over a four-year period by teachers who had been supervised by the respondents.

Since the number of grievances varied with the respondents, the number of grievances were considered in two groups for purposes of this comparison. The first group was no grievances filed, while the second group was some grievances filed. For the 1975-1976 school year, 87.26% of the respondents reported that no grievances had been filed. During the 1976-1977 school year, the percentage of respondents who reported no grievances filed decreased slightly to 79.41%, with another slight decrease to 77.78% who reported no grievances filed in 1977-1978. The percentage of respondents who reported no grievances filed in 1978-1979 increased to 83.33%. These data are reported further in Table 12. Specific information on the exact number of grievances filed for each of the four years included 32 for 1975-1976; 49 for 1976-1977; 53 for 1977-1978; and 35 for 1978-1979.

TABLE 12

STATUS OF GRIEVANCES FILED REGARDING VIOLATIONS OF  
COLLECTIVE BARGAINING AGREEMENTS ADMINISTERED  
BY PRINCIPALS IN SELECTED COOK COUNTY  
ELEMENTARY SCHOOL DISTRICTS

Grievances Filed	1975-1976		1976-1977		1977-1978		1978-1979	
	No.	Per Cent	No.	Per Cent	No.	Per Cent	No.	Per Cent
None	137	87.26	135	79.41	140	77.78	155	83.33
Some	20	12.74	35	20.59	40	22.22	31	16.67
Total	157	100.00	170	100.00	180	100.00	186	100.00

Role of Principals in Bargaining  
and Grievances Filed at  
Building Level

The seventh research question considered the possible difference between the role of the elementary principal in the development of collective bargaining agreements with teachers and the number and kind of grievances filed at the principal or building level. Information for this question was obtained from a review of responses to a specific question in the survey instrument which required respondents to indicate their opinion as to whether or not the number of grievances filed by teachers under their supervision had increased or decreased as a result of their participation in the development of the collective bargaining agreement. Information on the kind of grievances was

obtained from responses to the question which required specific information on the scope of the grievance procedures in the contract and is reported in Table 13. The majority of the respondents, 75.34%, reported that no grievances had been filed, while 7.53% of them reported that the number had decreased somewhat. The percentage who reported that the number had decreased was 4.79%, with another 10.96% having indicated that the number had somewhat increased, while 1.37% reported an increase. Respondents reported the scope of the grievance procedure contained in the contract which they administered by indicating that it was or was not limited to contract violations only. A total of 83.77% of them reported that the grievance procedure was, indeed, limited to contract violations only.

TABLE 13  
PRINCIPALS REPORT OF GRIEVANCES FILED

Grievances Filed	Respondents	
	No.	Per Cent
No grievances filed	110	75.34
Somewhat decreased	11	7.53
Decreased	7	4.79
Somewhat increased	16	10.96
Increased	2	1.37
Total	146	100.00

N = 146

The role of the principal in the development of the collective bargaining agreement with teachers was compared with the filing of grievances by teachers under his or her supervision over a four-year period from 1975 to 1979. During the 1975-1976 school year, slightly more than two-thirds of the principals who served as members of the management team reported no grievances filed, and a similar percentage reported no grievances filed in 1976-1977. During 1977-1978, the percentage of management team members who reported no grievances increased to 78.26%. In this same year, 24.49% of the respondents who had not participated in negotiations reported some grievances filed, and this percentage represented an increase for this group over the previous year. The calculations for 1978-1979 were similar to those for the previous year, and 83.33% of the principals who served as members of the management team reported no grievances filed.

A comparison was also made between the role of the principal in the development of a collective bargaining agreement with teachers and the increase or decrease in grievances filed by teachers under his or her supervision. Of those principals who served as members of the management team, 76.19% reported no grievances, while 14.29% reported grievances were somewhat down, and a small percentage, 9.52%, reported grievances somewhat increased in number. The ma-

majority of principals who served as advisors to the management team reported no grievances filed as did the majority of the principals who did not participate in the development of the collective bargaining agreement with teachers. The only instance where the number of grievances was reported as increased was in that of principals who had served as advisors to the management team, with a small percentage, 4.26%, having reported an increase in grievances filed.

Further study of data obtained which pertained to the role of the principal in collective bargaining and grievances filed was completed by placing the respondents in two groups--namely, those who had participated in some capacity in the development of the collective bargaining agreement with teachers and those who had not participated. This role of the principal was then compared with the specific number of grievances filed in each year of the four-year period included in this phase of the study.

During each one of the four years, the majority of principals who had participated, as well as the majority of those who had not participated, reported no grievances filed. The greatest number of grievances were filed during the 1977-1978 school year and these were equally distributed between the group of principals who had participated in negotiations and the group which had not participated.

## Role of Principals and Settlement of Grievances

The eighth and final research question in this study considered the difference between the role of the elementary principal in the development of collective bargaining agreements with teachers and the number of grievances settled at the principal or building level.

Information for this segment of the study was obtained by tabulation and percentage calculation of responses to a question contained in the survey pertaining to the step of the grievance procedure at which filed grievances had been settled since the respondent had participated in the development of the collective bargaining agreement with teachers.

A review of the responses indicated that 37.8% of the respondents who had had grievances filed by teachers under their supervision had settled the grievances at the building level. A small percentage, 2.44%, had had them settled at the association level, while 42.68% reported settlement at the superintendent level. A total of 7.32% reported that the grievances had been submitted to binding arbitration.

A further comparison of the level at which filed grievances were settled and the role of the principal in the development of the collective bargaining agreement with teachers was completed and is reported in Table 14. For pur-



poses of this aspect of the study, settlements were considered as having been made at the building or beyond the building level. Respondents who had served as members of the management team reported that approximately one-third of grievances filed were settled at the building level, with two-thirds settled beyond that level. Of the grievances filed with principals who had served as advisors to the management team, slightly more than one-third were settled at the building level, with the balance having been settled beyond that level. Principals who did not participate in the development of the collective bargaining agreement with teachers reported that 40% of grievances filed with them were settled at the building level.

TABLE 14

COMPARISON OF LEVEL AND NUMBER OF GRIEVANCE SETTLEMENTS AND ROLE OF PRINCIPAL IN DEVELOPMENT OF COLLECTIVE BARGAINING AGREEMENTS WITH TEACHERS

Settlement	Role of Principal					
	Member Management Team		Advisor Management Team		No Participation	
	Grievances No.	Per Cent	Grievances No.	Per Cent	Grievances No.	Per Cent
Building level	3	33.33	10	37.04	18	40.00
Beyond building level	6	66.67	17	62.96	27	60.00
Total	9	100.00	27	100.00	45	100.00

This third chapter has provided a detailed description of the data collected for each of the research questions considered in this study. It has also provided detailed information on the sources of data and the method and procedure used to obtain the data. The fourth chapter provides an analysis of the data obtained and reported in this third chapter.

## CHAPTER IV

### ANALYSIS OF THE DATA

This fourth chapter provides an analysis of the data obtained and reported in Chapter III, including that pertaining to the respondents and the specific research questions considered in the study.

#### Respondents

The respondents in this study were representative of principals of elementary schools in suburban Cook County, with at least one-half of them serving in schools with enrollments in excess of 400 and with a staff of 25 or more teachers. As had been anticipated, due to current trends regarding women in administrative positions, the percentage of respondents who were female was negligible.

In conformity with Illinois certification regulations for principals, all respondents held a minimum of a Master's degree. Although a large percentage of them reported having been administrators for nine or more years, approximately 75% of them reported completion of additional training within the last five years. This recent course training is contrary to other data obtained which revealed that even though the respondents are apparently remaining

current with trends in education through additional course work, very few have had any formal training for negotiations. This would indicate that while principals are electing to obtain additional training, the type of course work elected may not be meeting the needs of their responsibilities in the matter of either developing or managing collective bargaining agreements with teacher organizations. It is also possible that this lack of formal training for negotiations could be due to meager course offerings on this topic at colleges and universities in which these principals are likely to be enrolled.

Experience within the current school district of a majority of the respondents was reported to be in excess of seven years, which would lead to the assumption that they have had enough experience with staff, students, and the community in general to make them valuable resources in the process of negotiations with the teachers. This information, when coupled to that which indicated that the majority of the respondents had had previous affiliation with a teacher organization (one-fourth of them had served as members of a teacher team), leads to the conclusion that the responding principals in this study are not oblivious to the negotiation process between teachers and boards of education.

## Role of the Principal in Collective Bargaining

Evidence is presented in this study that the role for principals suggested in the literature--namely, that of alignment with the management team in the development of collective bargaining agreements with teachers--is one practiced by some elementary principals in Cook County. The study revealed, however, that the majority of the principals included were not involved in negotiations either as members of the management team or as advisors to it. Of those principals who were aligned with the management team, more than twice as many served as advisors to the management team as served on the management team. This latter statistic may have been anticipated since there is usually some limitation to the number of persons who may serve on a bargaining team and thus opportunities for principals to serve in this capacity would be limited. In reality, one-third of the school districts represented in this study did, indeed, have a principal serving on the management team.

In the matter of school enrollment and teaching staffs of principal respondents and their role in collective bargaining, the greatest majority of those who served with the management team were from schools with enrollments in excess of 400 and teaching staffs of 25 or more teachers. Their counterparts from schools of smaller enrollments and a lesser number of teachers to supervise were much less in-

volved in negotiations with the teacher organization. This data revealed that principals with a significant amount of responsibility for administration of a school did manage to coordinate their other principal duties with the role of assisting with the development of collective bargaining agreements with the teacher group.

One of the stated reasons from the literature for inclusion of principals as part of the management team in the development of collective bargaining agreements with teachers was that the principal with his or her training and experience could bring to the bargaining table additional insights into the complexities of the issues being considered, especially those pertaining to management of prerogatives. A review of the training and experience of the principals in this study who were aligned with the management team indicated that boards of education in suburban Cook County had recognized this as a possible strength for their bargaining team. The principals who were aligned with management were predominantly those who had had at least six years of experience as a teacher and nine years of experience as an administrator, with a great percentage of them having served in their present school district for a minimum of seven years; thus, they did bring to the table knowledge of teaching and administration as well as knowledge and information pertaining to specific problems of the school district.

Another kind of experience considered in the selection of principals to serve with the management team was that of prior teacher organization affiliation and prior negotiations experience, either as a member of a teacher or board team. Principals in this study had primarily been affiliated with the Illinois Education Association at some time in their professional career and some few had previously served as members of a teacher team. Thus, although these experiences could have proven beneficial to a board team in that prior knowledge of teacher organization philosophy and tactics, as well as experience as a negotiator, could provide the board team with additional insights into the positions taken by the teacher team during bargaining, they did not appear to be a contributing factor in the determination to include principals with the management team.

The majority of the principals who served with the management team had completed some college course work within the last five years, which would indicate that they had availed themselves of the opportunity to obtain knowledge and information on current trends in education. The one area of training which was lacking for most of the respondents was that of any kind of formal training for negotiations. An insignificant number had completed credit classes or workshops on this topic, with a small percentage having completed non-credit workshops pertaining to collec-

tive bargaining with teacher organizations. This lack of training could be a deterrent to principals either selecting or being selected to serve with the management team in collective bargaining with teachers.

There is evidence from the data collected for this research question that boards of education in suburban Cook County have recognized that principals with their training, experience and expertise should be aligned with the management team in collective bargaining with teachers, and some principals have been given the opportunity to participate in this regard. There is further evidence, however, that this number could be increased to allow for more participation.

#### Principal Satisfaction with Role in Collective Bargaining

The second research question considered in this study was directly concerned with the topic of the satisfaction of the principal with his or her role in bargaining with teachers. Respondents indicated a variance in the degree of satisfaction with their present role, with no significant majority being reported in any one category.

The findings revealed that the least degree of satisfaction with role was reported by those principals who had had no training for this assignment, which is an indica-



tion that some training for negotiations must be made available to these principals.

Although teaching and administrative experience were examined as factors which could contribute to the satisfaction of the principal with his or her role in the development of collective bargaining agreements with teachers, there was no evidence to indicate that there was a significant relationship between the degree of satisfaction with the role and either teaching or administrative experience of the respondents.

Previous affiliation with a teacher organization and negotiations experience were also considered and a study of the data obtained indicated that respondents who were generally satisfied with their role had prior affiliation with the Illinois Education Association. In the matter of experience with negotiations, those who had had experience in this regard--either as members of a teacher or board team--reported some degree of satisfaction with their negotiating role, while slightly less than half who reported dissatisfaction with their role were principals who had not had negotiating experience, which would indicate that some prior negotiating experience could be a contributing factor to the degree of satisfaction of the principal with this role.

Of the group of principals who did not participate in negotiations, a significant number were not satisfied

with this role, which may be interpreted to mean that their preference would be to serve with the management team rather than to be excluded from any and all deliberations with regard to negotiations.

Data obtained for this research question do further support the position of current writers on the role of the principal as that of alignment with the management team in the development of collective bargaining agreements with teachers. Findings revealed that principals who had been given an opportunity to be aligned with management were generally very satisfied with this alignment. Findings further revealed that an insignificant number of those who were aligned with management either as team members or as advisors to the team were not satisfied with this alignment.

#### Preferred Role of the Principal in Collective Bargaining

The matter of the preferred role of the principal in the development of collective bargaining agreements with teachers was considered as the third research question in this study to determine whether the role suggested in the literature was that which was preferred by elementary principals in suburban Cook County.

The majority of the principals included in this study preferred the role suggested for them in the litera-

ture--namely, that of being aligned with the management team either as members of or advisors to the team. None of the respondents selected to serve either as advisor to or member of the teacher team, which serves as evidence that these principals have separated themselves from affiliation with the teacher organization. It further serves as evidence that these principals do not view service with the management team in negotiations with teachers as having a potentially adverse effect on the various aspects of their roles as principals.

Several of the respondents indicated that serving on the management team had provided them with an exposure to the process of negotiations which in turn had improved their understanding of district operations and policies. They further indicated that the negotiating experience had had a marked positive impact on staff relationships and operations within a building. They viewed principal involvement in negotiations as encouraging meaningful interaction at the management level. This information provides additional reinforcement for the position that the role of principals in collective bargaining with teachers is one of alignment with the management team.

Role of Principal and Kinds of  
Management Prerogatives in  
Contracts

Selected current literature on the subject of collective bargaining in education suggests that principals must be involved in the development of collective bargaining agreements with teachers so that in this process they may protect for management those prerogatives or rights reserved to management which are necessary for the efficient and effective operation of a school.

One of the areas reviewed in this study was related to this topic in that it considered the possible impact of the role of the principal in the development of collective bargaining agreements with teachers on the inclusion of certain management prerogatives in the final contract.

The management prerogatives selected for study were those most commonly found in the Illinois Education Association Model Contract and included employee discipline, academic freedom, school calendar, employee work day, guaranteed preparation time, assignment of extra-curricular duties, teaching load and class size, notification of assignments, pupil problems and change of duties or responsibilities.

The findings in this study revealed that although the literature suggests that principal involvement in collective bargaining with teachers should provide some safe-

guard against the inclusion of management prerogatives in negotiated agreements, this is not necessarily occurring in school districts in suburban Cook County. Although earlier data in the study revealed that principals are involved to a certain extent in the negotiations process, the greatest percentage of those included in this study had had no involvement in the decision to include selected management prerogatives in the collective bargaining agreement with teachers. This may be attributed to lack of principal involvement in the process in the early years of bargaining when board and teacher teams were inclined to reach agreement on such seemingly innocuous non-money items as guaranteed preparation time, notification of assignments, etc., with only minimal concern for their long-term effect on the total school program.

It is apparent, however, that as teacher demands escalate to expand the provisions of management prerogatives currently included in the contract, the role of the principal will be more critical in interpreting for the management team the implications of granting such expansion of these provisions. In this role, the principal may also influence actions to remove some of the existing clauses from the contract.

In those instances where principals did report some participation in the decision to include certain management

prerogatives in the contract, the greatest percentage provided information in the area of change of duties or responsibilities which may serve as an indication that the management team did recognize the need for principal input in this regard since central office administrators, board members, or attorneys representing boards in bargaining would have limited knowledge on the impact of this clause on the management of a school.

Also, in line with protection of management rights, the majority of principals who recommended non-inclusion of a specific clause recommended teaching load and class size as the most significant clause to exclude and this clause is included in less than one-half of the contracts represented in this study. This supports the position that the principal is the one most aware of the implications of the inclusion of this management prerogative in a contract. Such a clause places severe restrictions on the principal in organizing an efficient and effective program for students within a school as the criterion becomes one of quantity of students rather than quality of program.

In the matter of recommending clauses for inclusion, the majority of the respondents who did provide such a recommendation made it in the area of inclusion of assignment of extra-curricular duties, and this kind of clause is included in slightly more than one-half of the contracts

represented in this study. It is apparent that principals viewed this clause as being least restrictive for them in that it could conceivably be managed in routine manner with little or no adverse effect on the educational program.

#### Role of Principal and Number of Management Prerogatives in Contracts

Data obtained for this study revealed that management prerogatives are being included in collective bargaining agreements with teachers in suburban Cook County, with each prerogative which is included representing additional restrictions on the principal in the management of a school. Writers in the field of educational administration promulgate the notion that a principal aligned with the management team in bargaining should be in a position to advise the exclusion or inclusion of certain items, or most certainly to influence the number finally included.

Further determination of the possible impact of the role of suburban Cook County principals in collective bargaining with teachers on the inclusion of management prerogatives in the contract was made by comparing the role with the number of prerogatives included in the final contracts. From the data collected, it was evident that the alignment of the principal with the management team had some effect on the total number of prerogatives included, since in

those instances where principals did serve in this regard, the percentage who reported the inclusion of five or less prerogatives was greater than the percentage of non-participants reporting the same number of prerogatives.

This evidence further supports the position that alignment of the principal with management does restrict somewhat the number of management prerogatives included in the contract.

Considering this question from the reverse position--namely, that of number of management prerogatives included where the principal did not participate in bargaining with the teachers--it is evident that lack of such participation may have allowed the inclusion of management prerogatives in the initial stages of board-teacher negotiations which are now difficult, if not impossible, to remove from the contract.

#### Role of the Principal and Grievances

Writers on the subject of grievance procedures as they pertain to collective bargaining agreements between teachers and boards of education caution that principals who must manage grievances will need to adapt to a principal-teacher relationship which will differ drastically from that which usually exists within the setting of the school. In these situations, the principal and teacher



will approach the issue as equals and aggressive discussion may be anticipated.

One of the aspects of this research was that of considering the grievance procedures and their use in the schools represented in this study. The majority of collective bargaining agreements reported by principals included in this study contained a grievance procedure which in approximately 50 per cent of the districts terminated with binding arbitration. This grievance procedure provides teachers with a means to obtain clarification or interpretation of the contract and could conceivably be used by them or their principals to avoid communication regarding any items in the contract. Such avoidance could be a contributing factor to a decline in morale within the school and thus the need for principals to be aware of contract provisions and their implication is essential.

The use of the grievance procedure for clarification or interpretation is not a major concern of the principals in this study as an insignificant number reported any grievances filed for the four-year period from 1975 to 1979. Although this may be construed as a positive indication that the existing contract is fully comprehended by both principals and teachers, it is possible that no occasion has arisen where interpretation was necessary. It may also be interpreted to mean that those principals who

had been aligned with management during the development of the collective bargaining agreement had effectively communicated with their colleagues regarding contract implications. Several respondents in the study did indicate that the existence of a contract with a grievance procedure necessitated their development of an awareness of contract provisions and subsequent abiding by specifics contained therein. This kind of awareness may be the major contributing factor in the minimal use of the grievance procedure.

The matter of grievances was studied further by considering the possible impact of the role of the principal in collective bargaining on grievances filed by teachers under his or her supervision. Data obtained revealed that in instances where principals had been aligned with the management team, the number of grievances filed by teachers under their supervision was minimal; however, this same held true for those situations where principals were non-participants in bargaining; thus, there is no conclusive evidence that the role of the principal in bargaining had any effect on grievances.

Settlement of grievances was also considered in this study and data collected revealed that the majority of grievances filed were being settled at the principal (building) or superintendent level, with an insignificant

number being submitted to arbitration. Thus, although arbitration does allow a disinterested third party to make decisions pertaining to local school operation and management of personnel, this is not generally occurring in the schools represented in this study. Further analysis of data obtained revealed that there was no significant difference between the role of the principal in bargaining and the level at which grievances were filed.

A review of all data obtained for questions pertaining to grievances reveals that although teacher organizations are frequently adamant in their demands for grievance procedures which terminate with arbitration, they are not generally using the grievance procedure for interpretation or management of the contracts represented in this study. The grievance procedure as it is included in these contracts is apparently serving as a safeguard for both teachers and principals as each abides by the provisions of the collective bargaining agreement.

This fourth chapter has provided an analysis of the data reported in Chapter III. The fifth and final chapter provides a summary of significant findings, conclusions, and recommendations for future research and practice in education.

## CHAPTER V

### SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

The fifth and final chapter of this study presents a summary of significant findings, conclusions, and recommendations for future research and practice in education.

#### Summary

This study was based on the premise that management rights of principals are gradually being diminished by the inclusion of management prerogatives in the collective bargaining agreements which have been negotiated with teacher organizations. This erosion of management rights through the collective bargaining process will substantially reduce the effectiveness of principals as educational leaders.

The study was further based on the premise that if principals were directly involved, either as members of or advisors to the management team, in the development of collective bargaining agreements with teacher organizations, they would be in a position to modify or prevent the inclusion in the final contract of prerogatives which are essential for the effective and efficient operation of a school. Participation in the development of the contract would also serve to make principals more aware of contract language

and in a position to correctly interpret the contract for teachers, and thus minimize the number of potential grievances which may be filed as a result of alleged misinterpretations or misapplication of the provisions of the contract.

These premises were derived from a review of recent professional literature which states that principals serving as members of the management team in negotiations have an opportunity in this capacity to influence procedures which contribute to their responsibility and authority as managers. The literature further supports the notion that the principal is the best resource of the school board for the resolution of conflicting situations within a school and to not involve principals in the collective bargaining process is to neglect a wealth of sound wisdom and judgment. Since principals are the ones who will administer and interpret the final contract on a day-to-day basis, their participation in its development is essential if the contract is to be effectively administered.

The purpose of this study was to determine the current role of elementary principals in suburban Cook County in the development of collective bargaining agreements with teachers and to consider this role in relationship to the inclusion of management prerogatives in the collective bargaining agreements being administered by these principals.

The management of the contract through the disposition of grievances filed regarding contract violations was also studied, as was the satisfaction of the principal with his or her role in the development of the collective bargaining agreement with the teacher organization.

The initial procedure utilized in this study was that of identifying those elementary school districts of the 114 in suburban Cook County which had negotiated collective bargaining agreements with teachers and then to further identify those contracts which contained some or all of ten selected management prerogatives, as well as a grievance procedure. In this process, 71 districts were identified as having a contract which included salary, fringe benefits, and working conditions. Of this number, 50 contracts contained at least four management prerogatives, and 69 of the 71 contracts contained a grievance procedure, with 39 of these grievance procedures terminating with binding arbitration. Following the identification of the districts with these contracts, a telephone survey was conducted of a random selection of the superintendents of 25 of these districts to inquire as to whether or not principals were involved as members of the management team in the development of the collective bargaining agreement with the teacher organization. Seventeen of these superintendents reported that principals did serve with the management team, and it

was thus determined that there were a sufficient number of principals involved in the development of collective bargaining agreements with teachers to proceed with the study.

A questionnaire, which had been tested with several principals who were not to be included in the study, was mailed to the principals of the elementary districts identified in the original survey. This questionnaire was designed to elicit responses to questions regarding the role of the principal in the development of the current collective bargaining agreement with the teacher organization, as well as the satisfaction of the principal with this role and his or her preferred status in this regard. Information regarding the input of the principal in the decision to include management prerogatives in the contract and data pertaining to the management and interpretation of the contract through the grievance procedure was also obtained. Standard statistical procedures were utilized to analyze the data and conclusions were drawn from data collected and analyzed.

### Conclusions

The conclusions drawn from this study are presented first as general conclusions, and, secondly, as specific conclusions for each of the research questions which were considered.

The literature reviewed for this study suggested

that the role of the elementary principal in the development of collective bargaining agreements with teachers should be that of a member of or advisor to the management team. The literature further suggested that in this capacity the principals with knowledge of and expertise with the day-to-day operations of a school would be in a position to preserve and protect for management those rights essential to the efficient and effective administration of the schools. The grievance procedure was cited as a means for democratic adjudication of alleged violations of contract provisions, with grievance proceedings placing the principal in a situation where two parties--the principal and teacher--would be meeting on equal grounds--a situation which is contrary to the usual principal-teacher relationship.

### General Conclusions

1. This study demonstrated that principals are serving as members of the management team in the development of collective bargaining agreements with teachers in approximately one-third of the elementary districts in suburban Cook County which have negotiated agreements with teacher organizations; however, a greater number are serving as advisors to the team than are actually serving on the team.



2. The study further demonstrated that principals who are serving as members of or advisors to the management team are generally satisfied with their role in this regard. The majority of principals who are not participating are only somewhat satisfied with their role.
3. In the matter of their preferred role in collective bargaining, the majority of principals who are serving as members of or advisors to the management team prefer to continue to serve in either of the two roles; however, the majority of principals who are not participating would prefer to change their role to that of advisor to or member of the management team which would then place them more in conformity with the role suggested for them in the literature.
4. The role of the principal in the development of the collective bargaining agreements with the teacher organization had some influence on the inclusion of management prerogatives in the final contract. Although there was no great difference between the number of prerogatives included in contracts developed with principal participation with the management team and the

number of prerogatives included in contracts with no principal participation in such capacity, there was evidence that in those instances where principals served on the management team, the number of final contracts which contained five or more prerogatives was less than in those instances where principals had been non-participants.

5. There is little or no evidence to indicate that the grievance procedure is being used to any great extent to interpret or manage the collective bargaining agreement. The majority of principals who had participated in this study had not had grievances filed by teachers under their supervision during the four-year period between 1975 and 1979.
6. The role of the principal in the development of the collective bargaining agreement with teachers had little or no influence on grievances filed by teachers under the supervision of principals who served with the management team. During the four-year period from 1975 to 1979, the number of grievances filed was almost equally divided between teachers supervised by principals who served with the management team

and the teachers supervised by principals who were non-participants.

7. Although the majority of contracts represented by principals in this study contained a grievance procedure which terminated with binding arbitration, an insignificant number of grievances have been settled at that level. In the majority of instances where grievances were filed and not settled at the building level, settlement was reached at the superintendent level.

#### Specific Conclusions for Each Research Question

Research Question 1: What is the current role of elementary principals in suburban Cook County in developing collective bargaining agreements with teachers?

Principals in suburban Cook County are somewhat involved in the development of collective bargaining agreements with teachers, either as members of or advisors to the management team. Those who are involved are serving as principals of schools with enrollments in excess of 400 students and are supervising 25 or more teachers. They hold a Master's degree and have completed college training since 1975; however, the majority of them have had little or no specific training for negotiations. They have completed

six or more years of teaching prior to becoming a principal and have administrative experience in excess of nine years with a minimum of seven years in their present position. The greatest number of those aligned with the management team had previous affiliation with the Illinois Education Association and had previous experience with negotiations, either as a member of or advisor to the management team.

Research Question 2: Are principals generally satisfied with their role in the development of collective bargaining agreements with teachers?

Principals in this study are generally satisfied with their role in the development of collective bargaining agreements with teachers. Those aligned with management who report most satisfaction with their role serve as principals of schools with larger (400 or more) enrollments and supervise a minimum of 25 teachers. The majority of principals who are serving with the management team in some capacity were generally very satisfied with this role in collective bargaining; however, of those principals who were not participating, only a small percentage were very satisfied with this role, and thus may be seeking more opportunity to participate in the development of the collective bargaining agreement with the teacher organization.

Research Question 3: What is the preferred role of the principal in the development of collective bargaining agreements with teachers?

The principals in this study who are serving with the management team in negotiating with teachers generally prefer to continue in this capacity. Some few who had been in an advisory capacity only would prefer to become more active and serve directly on the management team. Of the principals who had not participated, slightly more than one-half would prefer to serve with the management team, rather than to remain as non-participants. Given an opportunity to do so, these non-participants would become more actively involved in the process of negotiating with teacher organizations.

Research Question 4: What input, if any, did the principal have in the inclusion of management prerogatives in the collective bargaining agreement with the teacher group?

Principal input into the decision to include certain management prerogatives in the final contract was somewhat limited, with the greatest amount of input being in the matter of providing information on the subject of change of duties or responsibilities. The clause pertaining to teaching load and class size was the one clause recommended for non-inclusion by the greatest number of

participants and it was included in considerably less than one-half of the contracts administered by principals included in this study. The greatest number of principals who recommended inclusion of a specific clause recommended one pertaining to assignment of extra-curricular duties and this was included in more than one-half of the final contracts. Although principal input was limited, there is evidence that it had some influence on final contract provisions.

Research Question 5: Is there a significant difference between the role of the elementary principal in the development of collective bargaining agreements with teachers and the number of management prerogatives included in the final agreement?

In those instances where principals served on the management team in the development of the collective bargaining agreements, the number of contracts which included five or more prerogatives was considerably less than in those instances where the principal served as an advisor to the management team. Also, in instances where principals had been non-participants, the number of contracts with five or more prerogatives was considerably higher than the number of contracts which contained less prerogatives. Thus, there is evidence that the presence of the principal at the bargaining table may have influence on the inclusion of management prerogatives in the final contract.

Research Question 6: Is the grievance procedure being used to manage and interpret the collective bargaining agreement?

Most of the participants in this study administer contracts which contain a grievance procedure and in approximately two-thirds of the cases, the grievance procedure terminates with binding arbitration. There is no evidence from information obtained from the respondents that this grievance procedure is being used to manage or interpret the contract since the majority of the respondents reported no grievances filed over a four-year period. In reality, although 69 school districts were represented in this study, the actual number of grievances filed in each year of the four-year period from 1975 to 1979 represented an average of less than one per school district. Thus, the grievance procedure as it is contained in the contracts represented in this study is available but not currently being used to any great extent to either manage or interpret the contract.

Research Question 7: Is there a significant difference between the role of the elementary principal in the development of collective bargaining agreements with teachers and the number and kind of grievances filed at the principal (building) level?

The scope of the grievance procedure included in the majority of contracts administered by principals included in this study was limited to contract violations only; thus, grievances filed resulted from alleged misapplications or misinterpretations of some specific provisions of the contract. In comparing the role of the principal in the development of collective bargaining agreements with teachers with grievances filed, there was no evidence that a relationship between the two existed. The only year in the four years from 1975 to 1979 when the principals who had been aligned with management had a significantly lesser number of grievances filed by teachers under their supervision than had been filed with their counterparts who were non-participants was 1977-1978. In that particular year, the number of grievances filed by teachers supervised by non-participants in collective bargaining indicated somewhat of an increase over other years. From data available, it is apparent that the role of the principal in the development of collective bargaining agreements with teachers does not significantly affect the number and kind of grievances filed at the principal (building) level.

Research Question 8: Is there a significant difference between the role of the elementary principal in the development of collective bargaining agreements with teachers and the number of grievances settled at the principal (building) level?



A review of the settlement of grievances filed by teachers under the supervision of principals who were aligned with the management team in the development of the collective bargaining agreements with teachers revealed that there was no significant difference between the role of the principal in bargaining and the settlement of grievances. Although the total number of grievances filed by teachers supervised by principals who had been involved in the development of the collective bargaining agreement was less than the number filed by teachers supervised by non-participants, the percentage of settlement at the building versus beyond building level was comparable.

#### Implications and Recommendations

Although the number of principals who are directly aligned with the management team in the development of collective bargaining agreements with teachers is limited at this time, there is evidence that some are serving in this capacity and that still others would be willing to serve if called upon to do so. The need to increase the number already serving and to include those who are willing and waiting to serve is apparent. As negotiated collective bargaining agreements between teacher organizations and boards of education escalate in number and broaden in scope so as to include salary and other related monetary benefits, as

well as specific conditions of employment, the task of the elementary principals in the administration of such contracts will become more complex than it has been heretofore. Principals are being held accountable for the effective and efficient administration of their schools within limitations placed on them by collective bargaining agreements between their subordinates, the teachers, and their own employers--the board of education--and are often placed in the untenable position of interpreting contract provisions for which they have less knowledge and background information than has been made available to the teachers under their supervision.

Some specific actions should be taken by school board members and superintendents to reduce, or possibly eliminate, the number of such untenable situations, and the following are recommended:

1. Principals should be included with the management team in the development of collective bargaining agreements with teachers, for it is the principal who must provide vital information to the team regarding existing practices within a school and the impact on the school operation and program of the inclusion of certain items. The presence of a principal with the management team will serve as an indication to the teacher organization that the

principal is not the "man in the middle," but is a member of the management team.

2. School board members and superintendents must re-examine their role expectations for building principals. They need to develop an awareness for the ambiguity that exists between these role expectations and that which a principal may realistically accomplish while managing personnel under the terms of a contract negotiated between the teachers and the board of education. Amelioration of this ambiguity could be accomplished by allowing the principal to have some input in the development of the negotiated contract with the teachers, especially in the matter of items directly pertaining to the management of personnel within the school building.
3. School boards and superintendents need to assess the administrative team concept within their respective school districts to determine ways in which more principals may become involved in the development of collective bargaining agreements. Such involvement might include allowing principals to serve with the management team on a rotating basis and most certainly could include allowing all district

principals to serve in an advisory capacity. A representative number may be included in caucus and planning sessions related to collective bargaining, and some one of the principals should be assigned the task of communicating actions or intended actions to the other principals in the district, thus keeping them informed of progress during negotiations.

In addition to steps taken by school board members and superintendents, principals and principal organizations should also take some actions to avoid the loss of management prerogatives through provisions of contracts being negotiated between boards of education and teacher organizations. The following recommendations should not only protect management prerogatives but also enhance and strengthen the role of the principal:

1. Principals who are serving either as members of or advisors to the management team in the development of collective bargaining agreements with teachers need to involve those principals from their respective school districts who are non-participants so that their experience and expertise may be considered in the development of contract language and proposals and counter-proposals to be presented during the negotiating

sessions. An understanding of how and why a decision was made to trade one item for another in the bargaining process would enable the non-participants to more easily comprehend and administer the final contract.

2. Principals who are aligned with the management team and are satisfied with this alignment should share their experience and satisfaction in this regard with their colleagues and encourage them to become more actively involved.
3. Principals of smaller schools need to become involved in the collective bargaining process. The majority of those who are presently involved are from schools with enrollments in excess of 400, while their counterparts from schools with smaller enrollments are generally non-participants, even though their training and experience is similar and their contributions should be of equal value to those of the principals from the larger schools.
4. Provision must be made for training of principals for negotiations which would extend beyond the "table tactics" kind of format followed by some workshops. This training should also provide information and insights into the short and

long range implications and possible side effects of the inclusion of certain clauses in the contracts. This same training should include emphasis on the development of clauses containing clear, succinct language which may easily be understood and interpreted by all who will be bound by the contract.

#### Suggestions for Further Study

This study considered the role of elementary principals in the development of collective bargaining agreements with teachers and further examined the effects of this role on the inclusion of management rights in the final contract, as well as the administration and interpretation of the contract through the grievance procedure. Based on the findings of this study, it is suggested that more specific implications and effects of the role of the principal in the development of collective bargaining agreements with teachers be considered. The following topics are offered for possible investigation in future studies:

1. A study of the ideal role for principals in the development of collective bargaining agreements with teachers as perceived by school board members, superintendents, principals, teachers and parents.

2. A study of the effects of principal participation in the development of collective bargaining agreements with teachers on principal/teacher rapport within the school setting.
3. A study of the effects of principal participation in the development of collective bargaining agreements with teachers on board of education-superintendent-principal relationships.
4. An analysis of grievances filed over a three-year period to compare alleged contract violations with principal role in collective bargaining.
5. An in depth study of grievances filed and terminated at the principal level to determine whether or not an amicable settlement was accomplished or principal or teacher acquiescence prevailed.
6. An analysis of grievances initiated over a given period of time compared with the items presented for negotiations by the teacher group during the same period of time.
7. An analysis of the kinds of management prerogatives being included in the collective bargaining agreements with teachers and the implica-

tions of these for the instructional leadership role of the principal.

This concludes the fifth and final chapter of this study on the role of the elementary principal in the development of collective bargaining agreements with teachers. The underlying premise of this study was that elementary principals must rightfully be aligned with the management team in the complex process of developing collective bargaining agreements with teacher organizations. It seems appropriate to conclude the study, then, with a brief excerpt from the writings of Andree on collective negotiations:

...the principal is the key man in negotiations. The reason we have excluded him previously is that he didn't ask to be included. Let him try, since no one in our school systems has yet solved the great problems of negotiation.<sup>1</sup>

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<sup>1</sup>Andree, Collective Negotiations, p. 69.



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## APPENDIX

*Worth Schools*

DISTRICT NUMBER 127

Administrative Office:

111th and Oak Park Avenue

Worth, Illinois 60482

ROSEMARY LUCAS  
SuperintendentTelephone  
312-448-2800

## DISTRICT SURVEY


Dear Colleague:

I am in the process of collecting data for my doctoral dissertation at Loyola University and need certain information on the status of collective bargaining agreements with teachers in Cook County Elementary Districts.

Completion and prompt return of the enclosed brief survey either by you or a member of your staff will be appreciated. An abstract of the completed dissertation will be sent to participants in the study.

Thank you for your cooperation and assistance with this project.

Sincerely,

Rosemary Lucas  
Superintendent

RL:MP

SCHOOLS: — WORTH JUNIOR HIGH

WORTH ELEMENTARY — WORTHBRIDGE — WORTHTERRACE — WORTHWOODS

## COLLECTIVE BARGAINING SURVEY

Name of District \_\_\_\_\_ Cook County No. \_\_\_\_\_

Address of District Office \_\_\_\_\_

Name of Respondent \_\_\_\_\_

1. What is the current status of collective bargaining with teachers in your school district?
  - a. Master Contract including salary, fringe benefits and working conditions
  - b. Agreement on salary and fringe benefits only
  - c. Other (explain)
  
2. If you do have an agreement, how long has it been in effect?
  - a. One year
  - b. Two years
  - c. Three years
  - d. Four or more years
  
3. If your current contract with teachers includes working conditions, which of the following are included?
  - a. Employee discipline
  - b. Academic freedom
  - c. School calendar
  - d. Employee work day
  - e. Guaranteed preparation time
  - f. Assignment of extra curricular duties
  - g. Teaching load and class size
  - h. Notification of assignments
  - i. Pupil problems
  - j. Change of duties or responsibilities
  
4. Does your contract include a grievance procedure?
  - a. Yes
  - b. No

If yes, does it include

  - a. Binding arbitration
  - b. Advisory arbitration
  
5. What is the teacher organization affiliation in your school district?
  - a. NEA/IEA
  - b. AFT/IFT
  - c. Local organization only
  - d. Other (explain)

## TELEPHONE SURVEY

I am calling for Superintendent Rosemary Lucas of Worth District 127. She is completing a study of the Role of Elementary Principals in the Development of Collective Bargaining Agreements with teachers. In order to proceed, it will be necessary for her to know if there are a significant number of principals in suburban Cook County who serve on the board team during negotiations with teacher organizations.

In your district:

Do they serve..... Yes No

If so, in which capacity:

- a. On the team
- b. Advisor to the team
- c. Other

How many principals are in your district?

Thank you for your assistance.



*Worth Schools*

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Administrative Office:

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Worth, Illinois 60482

PRINCIPAL SURVEY

ROSEMARY LUCAS  
SuperintendentTelephone  
312-448-2800

Dear Principal:

I am presently completing work on my doctoral dissertation under the direction of Dr. Philip Carlin of Loyola University. My topic is a study of the current role of the elementary principal in the development of collective bargaining agreements with teachers and the implications of this role on the inclusion of management prerogatives in the contract. Principal satisfaction with this current role in the collective bargaining process is also being studied, as is the interpretation and administration of the contract through the grievance procedure.

This study is limited to elementary school districts in Suburban Cook County which presently have some kind of collective bargaining agreement with teachers and your district is included in this group.


Completion and return of the enclosed questionnaire at your earliest convenience will be appreciated.

In consideration of your assistance to me in the preparation of my dissertation, I agree to hold any information provided by you in confidence and further agree to preserve the anonymity of the source of the information.

An abstract of the completed dissertation will be sent to all participants.

Thank you for your cooperation and assistance with this project.

Sincerely



Rosemary Lucas  
Superintendent

RL:MP

SCHOOLS: -- WORTH JUNIOR HIGH

WORTH ELEMENTARY -- WORTHBRIDGE -- WORTHTERRACE -- WORTHWOODS

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SURVEY  
PARTICIPATION OF PRINCIPAL IN COLLECTIVE BARGAINING WITH TEACHERS  
AND SELECTED OUTCOMES

Name \_\_\_\_\_ School \_\_\_\_\_  
Enrollment \_\_\_\_\_ No. of Teachers \_\_\_\_\_

Address of School \_\_\_\_\_

Name of District \_\_\_\_\_ Cook County No. \_\_\_\_\_

Highest Earned Degree \_\_\_\_\_ Date of Most Recent Course Completion \_\_\_\_\_

Experience (in years)

Teaching \_\_\_\_\_; Administration \_\_\_\_\_; in this District \_\_\_\_\_

Age: Under 30 \_\_\_; 30-35 \_\_\_; 36-40 \_\_\_; 41-45 \_\_\_; 46-50 \_\_\_; over 50 \_\_\_ Sex: M \_\_\_ F \_\_\_

Previous Teacher Organization Affiliation: None \_\_\_ IEA Local \_\_\_  
IFT Local \_\_\_

Previous Negotiations Experience: Member Teacher Team \_\_\_\_\_  
Member Board Team \_\_\_\_\_  
None \_\_\_\_\_

Specific Training for Negotiations: Non-Credit Workshop or Seminar \_\_\_\_\_  
Credit Course (s) \_\_\_\_\_  
Other \_\_\_\_\_  
None \_\_\_\_\_

Composition of Negotiating Teams:

Board  
1. Number \_\_\_\_\_  
2. Positions (i.e., Board  
Member, Attorney,  
Administrator)  
\_\_\_\_\_  
\_\_\_\_\_

Teachers  
1. Number \_\_\_\_\_  
2. Positions (i.e., District  
Teachers, Association Repre-  
sentatives, Attorney)  
\_\_\_\_\_  
\_\_\_\_\_

1. What is your present status in the development of the collective bargaining agreement with the teachers in your school?
  - \_\_\_ a. Member of the management team
  - \_\_\_ b. Advisor to the management team
  - \_\_\_ c. Advisor to the teacher team
  - \_\_\_ d. Member of the teacher team
  - \_\_\_ e. No participation
  
2. To what extent are you satisfied with this status?
  - \_\_\_ a. Very satisfied
  - \_\_\_ b. Quite satisfied
  - \_\_\_ c. Satisfied
  - \_\_\_ d. Somewhat satisfied
  - \_\_\_ e. Not satisfied
  
3. What is your preferred status?
  - \_\_\_ a. Member of the management team
  - \_\_\_ b. Advisor to the management team
  - \_\_\_ c. Advisor to the teacher team
  - \_\_\_ d. Member of the teacher team
  - \_\_\_ e. No participation
  
4. If you are a member of the management team, how much time is devoted to the process during the actual development of the contract?
  - \_\_\_ a. 2 hours per week
  - \_\_\_ b. 5 hours per week
  - \_\_\_ c. 5 hours per month
  - \_\_\_ d. 10 hours per month
  - \_\_\_ e. Other - specify \_\_\_\_\_
  
5. Which of the following management prerogatives are included in the current collective bargaining agreement with the teachers in your school?
  - \_\_\_ a. Employee Discipline
  - \_\_\_ b. Academic Freedom
  - \_\_\_ c. School Calendar
  - \_\_\_ d. Employee Work Day
  - \_\_\_ e. Guaranteed Preparation Time
  - \_\_\_ f. Assignment of Extra-Curricular Duties
  - \_\_\_ g. Teaching Load and Class Size
  - \_\_\_ h. Notification of Assignments
  - \_\_\_ i. Pupil Problems
  - \_\_\_ j. Change of Duties or Responsibilities

## Survey - 2

6. What was your involvement in the inclusion of these management prerogatives in the contract?

Prerogative	a Made the Decision	b Recommended the Decision	c Provided Infor- mation for the Decision	d Recommended Non-Inclusion	e None
Employee Discipline					
Academic Freedom					
School Calendar					
Employee Work Day					
Guaranteed Preparation Time					
Assignment of Extra-Curricular Duties					
Teaching Load and Class Size					
Notification of Assignments					
Pupil Problems					
Change of Duties or Responsibilities					

7. Does your current written contract contain a grievance procedure?  
 a. Yes  
 b. No
- 7a. If so, is it limited to contract violations only?  
 a. Yes  
 b. No
- 7b. If so, is it terminated with binding arbitration?  
 a. Yes  
 b. No
8. What is the number of grievances filed by teachers under your supervision at the building level in:  
 a. 1975-1976 \_\_\_\_\_ c. 1977-1978 \_\_\_\_\_  
 b. 1976-1977 \_\_\_\_\_ d. 1978-1979 \_\_\_\_\_
9. To what extent do you think the number of grievances filed has increased or decreased as a result of your participation in the development of the collective bargaining agreement with the teachers in your school?  
 a. No grievances filed  
 b. Somewhat decreased  
 c. Decreased  
 d. Somewhat increased  
 e. Increased
10. At which step of the grievance procedure have any grievances filed been settled since your participation in the development of the collective bargaining agreement with teachers in your school?  
 a. Building (principal) level  
 b. Association level  
 c. Superintendent level  
 d. Board level  
 e. Arbitration
11. Please list any additional ways in which collective bargaining with teachers has affected your role as principal.
- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_

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Worth, Illinois 60482

ROSEMARY LUCAS  
SuperintendentTelephone  
312-446-2800

## FOLLOW-UP LETTER TO SUPERINTENDENTS

Dear Colleague:

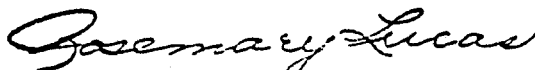
I am currently collecting data for my doctoral dissertation being completed under the direction of Dr. Philip Carlin of Loyola University.

My topic is a study of the role of elementary principals in the development of collective bargaining agreements with teachers. The data to be included in the study will be obtained from a survey of principals in selected school districts in Suburban Cook County and your district is one of those selected. A letter and questionnaire was mailed to each of your principals.

Since the success of my study is dependent on a significant number of responses, any encouragement you may give to your principals to complete and return the questionnaire in the very near future will be appreciated.

Thank you in advance for your interest and support of this endeavor.

Sincerely,

Rosemary Lucas  
Superintendent

RL:MP

SCHOOLS: - WORTH JUNIOR HIGH

WORTH ELEMENTARY - WORTHBRIDGE - WORTHTERRACE - WORTHWOODS

## APPROVAL SHEET

The dissertation submitted by Rosemary Lucas has been read and approved by the following committee:

Dr. Philip Carlin, Director  
Associate Professor, Administration and Supervision,  
Loyola

Dr. Robert Monks  
Associate Professor, Administration and Supervision,  
Loyola

Dr. Jasper Valenti  
Professor, Administration and Supervision and  
Associate Dean, School of Education, Loyola

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

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

5-9-80  
Date

  
Director's Signature