ABSTRACT
         This paper describes principals' behavior as they
facilitate the implementation of an innovation in their schools. The
paper uses data from research conducted by the Concerns-Based
Adoption Model Project at the Austin campus of the University of
Texas. The behaviors of nine principals are associated with three
"change facilitator styles" named by the researchers Responder,
Manager, and Initiator. The paper first reviews selected literature
on the role of leaders, then describes the studies and experiences
that have led to the development of the three styles. A framework is
outlined that suggests some of the ways that these three change
facilitator styles can be related to each other and to the overall
picture of change facilitation at the school level. A discussion of
research, practice, and training implications concludes the paper.
(Author/MLF)

THREE CHANGE FACILITATOR STYLES:

SOME INDICATORS AND A PROPOSED FRAMEWORK

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THREE CHANGE FACILITATOR STYLES: SOME INDICATORS AND A PROPOSED FRAMEWORK[1,2,3]

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The question is not, Do principals make a difference?

Instead the question should be, What kind of differences do principals make?

The literature on leadership, change, the role of the principal and school effectiveness consistently identifies the principal as a key factor in school success. Attributes such as being a "strong" leader, being "supportive" and serving as a "key" and "gate keeper" are constantly put forward. What is less frequently reported are descriptions of the day to day behaviors of principals, and other organizational unit leaders, that can be associated with their being successful leaders.

This paper describes behaviors of principals as they facilitate implementation of an innovation in their school. Furthermore, these

behaviors are associated with three "change facilitator styles" presently named Responder, Manager and Initiator. These three styles, as they are presently understood, are described. A framework is outlined that suggests some of the ways that these three change facilitator styles can be related one to the other and to the overall picture of change facilitation at the school level. The paper first reviews selected literature on the role of leaders. This review is followed by a description of the studies and experiences that have led to the development of the three styles. The paper concludes with a discussion of research, practice and training implications.

Background Literature

Attempts to isolate factors, features or characteristics that identify effective leaders and that distinguish them from ineffective leaders or the population in general are not a recent phenomena. Throughout history writers have tried to describe the great leaders of the time in a manner that supposedly accounts for their greatness. This fact was evident most recently on the 100th birthday of Franklin Roosevelt when writers and commentators once again tried to account for the performance of Roosevelt as president. The descriptors used ranged from personality characteristics (charisma, photogenic, radiant countenance, second rate mentality and a first-rate personality, intensely self-confident) to actual behaviors (adept at manipulating the press, master of the game, complex and confusing to his enemies, boldly and enthusiastically exercised the power of office) to his style of leadership (a pragmatist, one who believed that if what you were doing did not work try something else).

-2   4

Although the chronicles of history offer an interesting array of leadership profiles, these were not intended nor are they sufficient for generating generalizable descriptions of effective leaders. To accomplish this goal of discovering the key(s) to effective leadership numerous studies have been conducted during this century. According to Jago (1981) these studies of leadership have represented four different perspectives.

The first perspective (Type I) focused on a search for a set of universal leadership traits, some intrinsic qualities or characteristics that would set effective leaders apart from others. This required first the identification of those traits found in good leaders. Jago groups these various traits into four categories, Physical and Constitutional Factors, Skill and Ability, Personality Characteristics and Social Characteristics. Following the identification of the traits of successful leaders the next step was to develop instruments and techniques that would establish the relationship between these traits and leader effectiveness. The outcomes of the many studies conducted from this perspective of universal traits led Alfonso, Firth and Neville (1981, p. 100) to state:

> The conclusion one inevitably reaches, given the research evidence available at this point, is that there is simply no trait or pattern of characteristics common to all leaders. While certain characteristics recur frequently, their positive correlation is low and in themselves they cannot be held to be significant determinants or predictors of the ability to lead.

When the Type I research failed to identify the absolute characteristics of effective leaders, research took on another perspective (Jago's Type II), an examination of leadership styles. This perspective viewed leadership as a process involving interaction between leader and followers rather than a set of leader characteristics or traits. First, there was a need to establish dimensions, or factors or categories to identify leadership styles and then the need to determine which of these distinguished between effective and

3

ineffective leaders. Again, the outcomes of research from this perspective were disappointing. No one style was found that could be reliably related to leadership effectiveness. Further confounding the issue of leadership styles were a number of studies suggesting that the context in which the leader operates may influence style as much as style influences the followers (Jago, 1981).

The inconclusiveness of the Type II studies coupled with the findings regarding influence of situation on style set the stage for the final two perspectives proposed by Jago. Both of these perspectives are based on the premise that leadership depends on the situation. Type III research attempts to specify the conditions under which certain leader traits are effective while Type IV research focuses on behaviors that are associated with leader effectiveness. While the research efforts in these latter two perspectives have advanced our knowledge of leadership they too have not provided the final answer on leadership effectiveness. So after these many years of research on the leadership phenomena there is, in the words of Jago, (p. 20), "much left to be learned."

Because there is much yet to be learned, the search for a more certain understanding of leadership continues. In the field of education in recent years an increasing amount of attention has been directed at school principals as leaders. The spotlight gradually turned on the school principals as investigators in the 70's began to assess the impact of federal dollars on school effectiveness and found that more dollars and more new programs did not necessarily result in increased educational outcomes. But one significant finding that did emerge from these investigations was that a critical variable in bringing about school change is the school principal. In 1978 Berman and McLauglin (p. viii) stated "the importance of the principal to both short-and

long-term effects of innovations can hardly be overstated. All told, the principal merits the title of 'gatekeeper of change'." Fullan claims that "There is very strong and consistent evidence that principals who play an active role in leading the process of change influences the extent of implementation much more so than principals who carry out more of an administrative role leaving implementation to the individual teacher or external resource personnel" (1981, p. 16). In their synthesis of research on improving schools Lieberman and Miller reinforce these positions when they state "the principal is the critical person in making change happen" (1981, p. 583).

This stress on the importance of the principal in school change and improvement is not a matter of pure speculation. It comes from research studies that have highlighted the importance of the principal (Berman & McLaughlin, 1978; Venezky & Winfield, 1979; Hall, Hord & Griffin, 1980). However, merely identifying the principal as the key to school change and improvement is not enough. There must be an identification of the factors that influence or determine principal effectiveness so that these may be incorporated into programs for training effective principals.

To accomplish this goal several criteria must be met in future research. First, there must be research conducted that places schools and principals under the microscope, so to speak, in order to develop much more detailed information about what is happening in schools and with principals that make a difference in school outcomes. Secondly, this research must escape the narrow boundaries of one perspective as described by Jago and consider as many perspectives as possible. Third, the studies must have sufficient focus to be managable, yet not so detailed that the findings are trivial. Finally, techniques must be found for taking the qualitative data that is so essential

in this type of research and describing it in some quantitative manner so that studies can be replicated and outcomes compared across studies.

The study reported in this paper is one of an increasing number that are attempting to pursue one or more of these goals. Others include Little's (1981) study of staff development in urban desegregated schools. She found that principals could promote certain norms within a school by announcing, enacting, sanctioning and defending expectations for these practices. She also found that principals in effective schools were supportive and encouraged teacher collaboration. From a study of eight secondary schools Stallings (1981) also reports the importance of a principal who is supportive and encourages collaboration. Stallings found also that in schools where policies and rules were clear and consistent there was greater implementation of the innovation. This finding of effective schools being associated with a strong leader who encourages teacher participation in school goal setting and curriculum decisions was corroborated in studies by Rutter, et al. (1979) and Edmonds (1981).

The research on principals conducted by the Texas R&D Center varies somewhat from the above studies in that it attempts to identify principal leadership styles as an initial step in the correlation of styles with implementation effectiveness. It also addresses the earlier proposed criteria for future research. First, it took a very careful look at the specific actions of principals and interactions with teachers. Secondly, the study was designed to look not only at principal traits or behaviors but at principal-teacher interactions and to study the setting in which they took place. Third the focus is on one area of the principals role, facilitating implementation. Finally, the study attempts to blend qualitative and quantitative data (Goldstein & Rutherford, 1982; Stiegelbauer, 1982), in a way

6

that permits quantitative analyses as well as establishing a design that might be used in future studies.

Although the research effort which is the basis of this paper addresses much more than principal change facilitator styles this paper limits its scope to a discussion of styles. This is done for several reasons. In the first place the focus of this research was a bit different from much of the earlier research on styles in that it studied the style of the principal when facilitating a school improvement effort, not his general leadership style. Secondly, there needs to be much more specific investigation of styles, specific to school principals and specific to the factors that are critical determinants of style. It may be, as Jago suggests, that style is not an independent variable but is influenced by the followers and the setting but this contention cannot be investigated until there are available distinctive, defensible descriptions of styles. The same need exists regarding school improvement and effectiveness. Relationships between principal style and effectiveness and between style and the context in which it functions requires a keener knowledge and description of all three factors, effectiveness, context and principal-teacher interaction, and facilitator styles. The larger research effort on which this paper is based attends to the matters of context (Hall & Griffin, 1982) and principal-teacher interactions (Hord and Hall, 1982; Stiegelbauer & Goldstein, 1982).

Research Basis for Styles Description

The indicators and framework for three change facilitator styles have evolved from a series of studies of the implementation process conducted by the Concerns-Based Adoption Project of the Research and Development Center for Teacher Education. The framework for the research is the Concerns-Based Adoption Model (CBAM) (Hall, Wallace & Dossett, 1973) which focuses on how the

individual experiences the change process within an institutional context. One part of the CBAM is a diagnostic component made up of two dimensions which describe the individual, Stages of Concern (SoC) (Hall & Rutherford, 1976) and Levels of Use (LoU) (Hall, Loucks, Rutherford & Newlove, 1975); and a third dimension that describes the innovation in use, Innovation Configurations (IC) (Hall & Loucks, 1978). The CBAM perspective contends that the diagnostic data (SoC, LoU, IC) can be used for making informed decisions about the allocation of resources and support; these decisions can be articulated in the design and selection of appropriate "interventions" that are targeted by change facilitators toward users in order to encourage and help them in their individual change efforts. Frameworks for identifying, classifying, and describing interventions have been developed (Hall, Zigarmi & Hord, 1979).

For six years research on interventions has been conducted by the CBAM project in numerous school districts and has investigated both district and building level influences on change. In these studies that focused on implementation at the classroom level for both single-site and cross-site analyses, the principal emerged as a key factor in educational change and school improvement. In general the impressions from these experiences reiterated and confirmed trends in the literature and observations by participants in the change efforts we studied. In particular, three studies conducted by the CBAM project contributed insights and data about principals' change facilitating styles; Making Change Happen: A Case Study of School District Implementation (1976-1979); A Pilot Study for Documenting Principal Interventions (1979-80); and Principal-Teacher Interactions During the School Improvement Process (1980-82). In addition, we conducted continuous formal and informal "reality checks" with practitioners (staff developers, curriculum

resource personnel, principals and district-level administrators) and with colleagues in the research field about the styles and behaviors of principals. A brief discussion of the three studies and their contributions to our thinking about principals' styles follows.

-As part of A Case Study of School District Implementation (1976-79), which was a district wide longitudinal study of an elementary science curriculum implementation, nine of the twenty schools were selected to be the foci of secondary analysis by developing nine mini-case studies (Hall, Hord & Griffin, 1980). The objective of the case studies was to examine across-building differences and within school influences on implementation of the innovation by individual teachers. For these mini-case studies, teacher implementation data were reviewed and field notes on the behaviors and interventions of the principals were collected and summarized. From these data the nine schools were placed into three groups based on their teachers' concerns about implementing the Revised Science Program. Teachers in three of the schools had more intense Management concerns. In two schools teachers were primarily concerned with the Impact the science program was having on their students. Teachers in the final four schools had lower intensity concerns with some mixture of concerns about the management and the impact of the science program.

Based on the field work and the analyses of the data developed in the case study of each school it appeared that the principals functioned differently in the different kinds of schools. Principals of the management concerned schools did not get personally involved with teachers. Instead, they delegated responsibility or made decisions with little follow-up on the results. Principals in the impact concerned schools worked to support and help teachers, at the same time monitoring what they were doing with the

science program. These principals made it clear science was to be taught. In the schools where there was a mixture of concerns about science, those principals had some attributes of both of the above described principal types. Further, it appeared that the principals' concerns varied in systematic ways.

The findings from the study led to the hypotheses that the interventions principals make to facilitate innovation implementation will vary according to their concerns. However, before a study could be conducted to investigate this hypothesis it was first necessary to find a means for documenting principal interventions and their effects. The technique(s) had to be reliable and yet feasible for use in multiple research sites that might be geographically distant from each other. From this need came the Pilot Study for Documenting Principal Interventions.

This pilot study provided data on the interventions of ten principals in five districts implementing several different innovations (Rutherford, 1981; Hord, 1981). The primary objective of this study was development of efficient procedures for documenting the daily interactions of principals. But as the research staff interacted with the principals during the study it became apparent that the principals differed in the way they facilitated innovation use in their schools.

Some principals were clearly in the forefront of the implementation effort, articulating specific goals to be reached and constantly interacting with their teachers to keep them moving toward those goals. Then there were other principals who seemed to have no specific plan or goals for the implementation effort. They would try to assist teachers if asked but otherwise left it up to teachers to use the innovation as they would. Then there was the principal who set expectations and gave direction to the implementation effort but did so by delegating responsibility to key faculty

members. Careful consideration of these three patterns of facilitator behavior revealed that they were quite similar to the three styles identified earlier in the case study of a school district implementation effort.

The impressions and hypotheses of these two studies led to a study that focused specifically upon principals and their role as change facilitator: the Principal-Teacher Interactions During the School Improvement Process Study (1980-81). In this study nine elementary school principals were studied as they facilitated implementation of an innovation in their schools. Their day to day interventions were documented over a twelve-month period. Data were also collected on implementation at the classroom level and on contextual factors in the schools and districts. Rudimentary descriptions of three different change facilitator styles derived from the above studies and the literature were used to identify principals initially. At this point the three styles had not been named. A team of district personnel in each of three districts reviewed these descriptions and nominated principals that they thought represented each of the three styles. One principal was nominated for each style in each of three districts.

Some of the other guidelines for principal selection should also be highlighted.

(1) The three school districts represented geographically different parts of the U.S. and had formal policies of district wide curriculum.

(2) All of the principals and their schools were judged by their districts to be successful and had had stability in staffing.

(3) Principals and schools were to be involved in implementing an instructional innovation.

(4) Each district represented a different curriculum innovation (writing composition, mathematics or science) and were in a different year of district wide implementation (first, second or third respectively).

The district personnel had little difficulty in identifying principals who represented what would become the Responder and Initiator styles. They were able to come to consensus on representatives of the Manager style but it did require more discussion than for the other two. Interestingly it was the Manager style that caused difficulty for all three districts. This became another clue to what we now see as the transitional nature of persons who use this change facilitator style.

Since our original speculations about three change facilitator styles we have been collecting anecdotes, field notes and impressions that support or refute their existence. At this point the notes and impressions have congealed into the three behavioral composites represented in this paper. In the next several months these composites will be subjected to the empirical test by analyzing quantitatively the actual interventions that representative principals made and what effects they had.

Three Change Facilitator Styles in Overview

The three change facilitators styles are described in overview in this section. These CF styles represent composite stereotypes and are not direct portrayals of any of our study principals. Also, these three styles do not represent the universe of possibilities by any stretch of the imagination, they just represent three distinct styles that are more readily identifiable.

A note of caution needs to be added here. We and our colleagues have been involved in extensive discussion about the best descriptors and terminology for each of these change facilitator (CF) styles.

The three change facilitator styles, Responder, Manager and Initiator, are in fact very complex and multivariate ways of facilitating change. The names cannot possibly convey all that is represented in the more complete

style descriptions, but do serve as a shorthand for communication purposes. At present we are attempting to develop the clearest composite descriptions of these different ways of facilitating school change. We are not trying to judge which are best or worst, although we certainly have some hypotheses about differences.

The three styles vary on a series of dimensions that have to do with concerns about facilitating change and the behaviors that a person playing out each style stereotypically does. In general these styles are represented in the following ways.

Responders place heavy emphasis on allowing teachers and others the opportunity to take the lead. They see their primary role as administrative; they believe that their teachers are professionals who are able to carry out their instructional role with little guidance. Responders do not articulate visions of how their school and staff should change in the future. They emphasize the personal side of their relationships with teachers and others. Before they make decisions they often give everyone an opportunity to have input so as to weigh their feelings or to allow others to make the decisions. A related characteristic is the tendency toward making decisions in terms of immediate circumstances rather than in terms of longer range instructional and school goals. In this sense they remain flexible and willing to make last minute changes in decisions.

Managers represent a broader range of behaviors. At times they appear to be very much like Responders and at other times they appear to be more like Initiators. The variations in their behavior seems to be linked to how well they understand and buy into a particular change effort. In general they see to it that basic jobs are done. They keep teachers informed about decisions

and are sensitive to teacher needs. When they learn that the central office wants something to happen in their school they see that it gets done. However, they do not typically initiate attempts to move beyond the basics of what is imposed. Yet, when a particular innovation is given priority they can become very involved with their teachers in making it happen.

Initiators seize the lead and make things happen. They tend to have very strong beliefs about what good schools and teaching should be like and work intensely to attain this vision. Decisions are made in relation to the goals of the school and in terms of what is best for students, not necessarily what is easiest or will make teachers the happiest. Initiators have strong expectations for students, teachers and themselves. When they feel it is in the best interest of their school, particularly the students, Initiators will seek changes in district programs or policies or they will reinterpret them to suit the needs of the school.

More Detailed Descriptions

The above represent brief summaries of each of the stereotypic change facilitator styles. The three CF styles in some ways represent different roles that principals can play. In general we heard principals describing themselves pretty much as we saw them in terms of which CF style they were using. The three styles are clearly different in some ways that the literature and our own clinical judgements say are important. The initiative for change comes from different sources, the criteria that are most heavily weighed in decision making are very different, and the amount and extent of vision varies dramatically. At the same time all of the schools were seen by their district administrators as successful. All of the schools had standardized achievement scores that were on a par with or higher than like

schools in the districts. Yet the literature and clinical judgement says that the principal makes a difference?!

Some Thoughts About a Larger Framework

We continue to believe that the principal is important and that they do make a difference. The question of what kind of difference they make is where further thinking and study is needed. It appears that there has been too much of a tendency to focus on the principal singularly as the cause of success or failure for a change effort. A broader framework is needed when looking at the role of the principal in school change. The principal's change facilitator style should be placed in that broader framework of context, other actors and factors that make up a particular school.

In this broader framework we see listing an array of dimensions that are essential for having successful school change. At this point we think that some of those dimensions must be established by the principal, but other dimensions could be delivered by other actors and contextual factors. The degree of success of a school then depends on having a full set of dimensions accounted for, but all of them do not necessarily have to be done by the principal. However, all must be attended to in some way. A graphic illustration of this is presented as Figure 1.

One of the essential-but-not-necessarily-by-the-principal dimensions is "push." In order for implementation to occur in all classrooms of a school the innovation must be pushed. If the school has a principal who uses the Initiator CF Style, push is likely to come from him/her. If at the other extreme, the principal uses the Responder CF Style, he/she is not likely to provide push. But push could come from the assistant principal or some other

agent. In some cases we have observed push has been very capably delivered by the community.

Figure 1
A Possible Framework for Identifying Critical Principal
Tasks in Facilitating School Change

	Action/Task	Potential Effects
Principal Must Do	Sanctioning	Permits activity to occur
Principal can or someone else must do	Push	Makes priorities clear
Not the principal's job	Day-to-day innovation specific technical assistance	Teachers need this assistance, but principals do not have the time and may not have the technical skills.

Push is a dimension in this larger framework that could be offered by the principal or some other actor. "Sanctioning" of use of the innovation would be a dimension that must be done by the principal. Otherwise the rewards and resources would not be forthcoming to support implementation.

A broader framework of this nature might allow us to understand more about those things that successful school change requires and the sepcific items that the formal organization unit manager must do. One interesting area for speculation is to fill in the grid in terms of how the needed back up

16
18

resources will vary depending on the CF Style of the principal. We will have more to offer on our thinking about this framework in future papers.

Discussion

Initial development and exploration of the three change facilitator styles has been fascinating. The authors and their co-workers have had many discussions, and some heated debates, about how real these styles are and what the various implications could be.

At this point the three proposed change facilitator styles must be considered more as hypotheses than fact. However, they have already been a useful heuristic and focus for discussions by researchers and practitioners. Yet the data base to support the descriptions of these three and to illustrate possible relationships to other variables such as effects is quite limited. Further analyses of our existing data base is underway and others are invited to consider the ideas in their work.

One point that is clear is that no principal or other change facilitator is likely to fully fit into any one style. It is also clear that these three do not cover the universe of persons and behavioral combinations. It is just that these three have emerged across three studies and there is practitioner agreement that they can be useful in thinking about the various actors that may be part of school improvement efforts.

Implications

Assuming that support for considering these three change facilitator styles continues to develop then several implications come readily to mind. In addition there are obvious and intriguing next steps. Some of the more salient points are listed in the final paragraphs of this paper.

The "Average" Principal. If the existence of three CF Styles hold up with further testing, or if other styles are found to be more valid, then the recent research studies that have been descriptive and normative in terms of their analysis of the principal will have limited value. Rather than all principals being alike, it seems reasonable to think that there are critical differences in terms of how they carry out their role. One implication then is that research studies that report averages and staff development programs that deal with all principals in one undifferentiated group are not attending to the job related specific differences of the individuals that make up the group. Staff development programs are in fact not reflecting what the natural distribution is like. This appears to be especially important when considering their role in change facilitation. Some form of individualization is desperately needed for school improvement efforts, staff development and research.

Effectiveness. Possible criteria for judging effectiveness are many. They may be results on achievement tests or the absence of negative feedback from the community. Interestingly, the schools that were selected for the Principal-Teacher Interaction Study were all considered to be effective as seen by the central office and in terms of standardized achievement test scores. We found that these schools did vary in terms of the change facilitator styles of their principals and that in some cases other actors picked up on the dimensions that each principal did not attend to, as was proposed in the preceding section.

For example, in one school with a Manager principal, the central office curriculum coordinator picked up on the day to day support that teachers needed. In another school with an Initiator principal, a Title I resource

teacher added a personal dimension to the day to day interactions with teachers that the principal did not bring to the task.

Looking at the principal alone does not necessarily allow for accurate predictions about school effectiveness. But the issue of principal effectiveness must be considered by itself. Does implementation proceed more quickly in a Manager's or Initiator's school than it does in a Responder's school? In which schools can change trauma be coped with more easily? How does the teacher morale vary when all conditions are the same except for principal CF Style? For these kinds of questions principal effectiveness is separable from school effectiveness.

Principal Staff Development. Our recent research and training experiences have led us to hypothesize that principals will see as relevant very different kinds of staff development depending on their change facilitator style. Initiators may go on their own to teacher inservice meetings while Responders do not appear to fully engage in any particular types of staff development experience. Thus, identifying content and developing processes for principal staff development appears to be problematic. At this point we are not ready to offer universal solutions but we are ready to use the phenomena to explain (perhaps rationalize) some of the extremely varied receptions we have had when offering the same basic workshops to different principal groups.

Planning Change. Another application of the ideas proposed in this paper could be in planning school level and district wide implementation efforts. Perhaps implementation game plans should be adapted to different schools depending on the change facilitator style of the principal and the assistant principal. In a Manager school, implementation will likely proceed rather routinely once what is to be done is understood by the principal. In a

19   21

Responder's school, more encouragement from the outside and more district personnel time spent in the school working with teachers would probably be necessary. While in a Initiator's school a certain amount of "push" might be necessary to get implementation of the innovation on the list of the principal's priorities. On the other hand, if the innovation is already a priority for that principal, all the central office staff developer may have to do is stand out of the way.

Situational Leadership. Much of the recent writings and consultant, testimony has been targeted toward the theory that leaders need to change their style depending on the particular conditions at a given point in time. Blake and Mouton (1976) offer training in considering "task" versus "relationship" behaviors of leaders. The Situational Leadership model (Hersey & Blanchard, 1977) goes further to suggest that the leader's task and relationship emphases need to be adapted according to the "maturity" of the organization.

Our impressions at the moment is that leaders are not as adaptive in their behavioral patterns as these theories presuppose. In fact we are finding little evidence to suggest that either Responders or Initiators are apt to alter their change facilitator style. Managers, on the other hand, appear to be subject to transition in their style as it relates to implementation of a particular innovation. They tend to start out more in the Responder mode and with support from above and consultation they can shift to behaving more like Initiators before implementation is very far along.

Just how changeable change facilitators are in terms of their style is a subject that needs further research and analysis. If leaders are adaptable, it does not appear that these shifts are easily accomplished and sustained. In any case, it seems highly unlikely that the development of this quite

20

22

sophisticated flexibility in change facilitator style can be accomplished through a few workshop days as is often suggested and hoped for.

In terms of any one individual there may be some transitiveness to their Change Facilitator Style. We have already pointed out how principals with the Manager CF Style by definition appear to shift their style as an implementation effort unfolds. Perhaps the CF styles can be placed on a continuum as is illustrated below. The CF styles of different people may place them at different points on the continuum. At different times or with different innovations their CF Style may vary.

Responder	Manager	Initiator
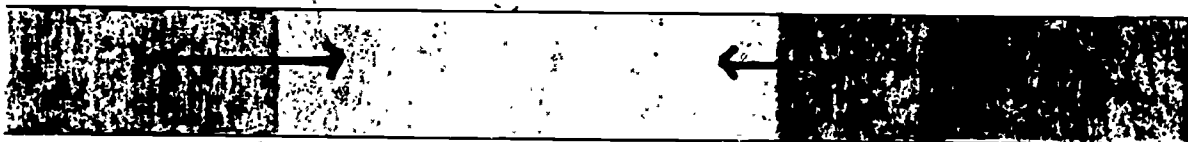
Next Steps

An interesting set of questions have emerged out of our analyses and discussions to date. In our own research we have planned several next steps to test further the behavioral dimensions of these styles. There also are some interesting conceptual issues that need further exploration. A few of these are presented next.

Quantitative Analyses. In our present study we have documented the "interventions" that the nine study principals have made each day for an entire year. The documentation has focused on their role and actions relative to facilitating implementation of a particular instructional innovation by their teachers. We are now involved in coding each of these interventions using our intervention coding frameworks (Hord & Hall, 1982). Out of these

2ľ

analyses we will be able to contrast the frequency, types and functions of the interventions that the different principals made. These quantitative analyses can then be compared to their change facilitator styles. These analyses will offer an empirical test of hypothesized differences in the three styles and will also provide the data for further elaborating our descriptions. They may even lead to the development of new CF Style descriptions.

CF Style Shift. One question that was raised above had to do with the potential of principals to change their CF Style. One interesting study would be to attempt to train a set of principals in analysis of their style and how to change their style. A more interesting study would be to follow a set of principals, or other change facilitators, longitudinally as they were involved in implementation to see if their styles in fact did change over time and why. A corollary study would be to look at the CF styles of a set of principals with regard to implementation of two different innovations. Perhaps they use a different style for an innovation that is of high priority than for one that is of low priority?

Framework Development. Another analyses and theory building task that we and our colleagues are presently working with is development of a framework for examining the relationships between the role of the principal as change facilitator and the role of other actors and contextual factors. In contrast to much of the literature, we are not convinced that all of the "important" attributes that are assigned to the successful leader have to be assumed by all leaders. It seems more likely that there is an array of important dimensions. Some of these dimensions must be done by the principal while there are other dimensions, which are typically assumed to be important for the principal to do, that in fact can be shouldered by other agents. Identifying which dimensions the principal absolutely must do and which can be

done by others and under what conditions which can be delegated is a focus of our analyses and framework building.

Who's on First? Another interesting implication has to do with the rotation of principals. There seems to be some increase in the practice of moving principals from building to building every few years. Moving managers from assignment to assignment is also regular practice in the private sector. What are the implications of having a person with a certain CF style following a person with the same or different style? We have done some hypothesizing based on the CF styles and our experiences.

For example, a Responder may be able to follow an Initiator without there being a sudden change in the schools behaviors. While having a Initiator following a Responder will probably lead to major upheaval. Changing a Manager for a Responder or Initiator would probably begin quite smoothly, but over time the dynamics of the school could shift quite dramatically. Perhaps someone will have an opportunity to explore these hypotheses in a district that is planning a lot of principal moves.

CF Style vs. CFSoC. In another part of our research we and our colleagues have been studying the "concerns" of change facilitators. This work has looked at the concept of Stages of Concern (SoC) as it applies to change facilitators (Rutherford, Hall & Newlove, 1982). A question that we are presently exploring has to do with identifying the relationships between a principal's more generic change facilitator style and their specific stages of concern about facilitating implementation of particular innovations. More exploration is needed before we can say with confidence what these relationships are.

The Role of Context. A set of questions can also be asked about the relationship between a principal's change facilitating style and the context

within which s/he is working. Does context drive the style that is exhibited? Are particular styles better suited to certain context? One impression that we have is that the influences of context vary depending on the principal's CF style. In other words, within the same district context we are observing what we believe to be very different interpretations and degrees of facilitation effectiveness that are related to the principals CF style. The same context is interpreted differently and used differently by principals with different CF styles. These differences are consistent with other ways that the three styles are different.

In summary, out of our research, field experiences and the literature we have developed descriptions of three contrasting change facilitator styles. The styles are composite, multidimensional stereotypic descriptions of how some principals provide leadership. We invite others to consider our CF style definitions and to offer further discussions about implications.*

Epilogue

Just as the first draft of this paper was completed we received a copy of a most excellent paper by Leithwood and Montgomery (1982). The relevance of that work for this paper is so significant it requires special consideration.

In their paper, Leithwood and Montgomery reviewed the literature that speaks to the role of the school principal in program improvement. Their focus on the principal's role in school improvement as opposed to a broader focus on general leadership behavior is very similar in scope to the PTI

*Incidentally, we hypothesize that Responders won't read this paper, Managers may read it, and might use the ideas, while some Initiators will read it and use the ideas and other Initiators will read it and say that they have a better idea.

study. In the PTI Study principal's were studied in their role of facilitating a specific innovation.

Based on information from an earlier investigation, Leithwood and Montgomery identified three potentially critical dimensions of principal behavior, Goals, Factors and Strategies. These three dimensions along with their multiple sub-dimensions provided the basic framework for the literature review. In each dimension, by sub-dimension, they looked for research outcomes that were associated with what they termed effective and typical principals. For some of the sub-dimensions they found no differences in the behaviors of effective and typical principals but in many instances they found clear differences in the behaviors of these two groups of principals. This finding is congruent with the findings of the PTI study where Some behaviors could be clearly identified with one of the three styles while other behaviors were common to two or more styles.

The most striking feature of the two studies is found in the comparison of the behaviors identified and associated with a particular principal descriptor. It was rather apparent that the behaviors they associated with the effective principal and those the PTI study associated with the Initiator style were highly congruent. Those behaviors Leithwood and Montgomery found to be associated with typical principals and those the PTI study associated with Manager and Responder styles were very similar. It would seem that the PTI study has provided a keener distinction of principal behaviors but apart from that the two studies are mutually supportive, and the fact that two studies of a different nature, conducted independently but with a similar purpose, produce similar findings gives increased validity to these outcomes.

Based on their review, Leithwood and Montgomery (p. 32) conclude " . . . it would not be premature for elementary school principals, concerned with

program improvement, to be guided in their actions by the main feature of the results that have been presented." We would not only agree with this conclusion but would go even further to suggest that it is not too early to develop training programs that will prepare principals to be more effective in facilitating school improvement.

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