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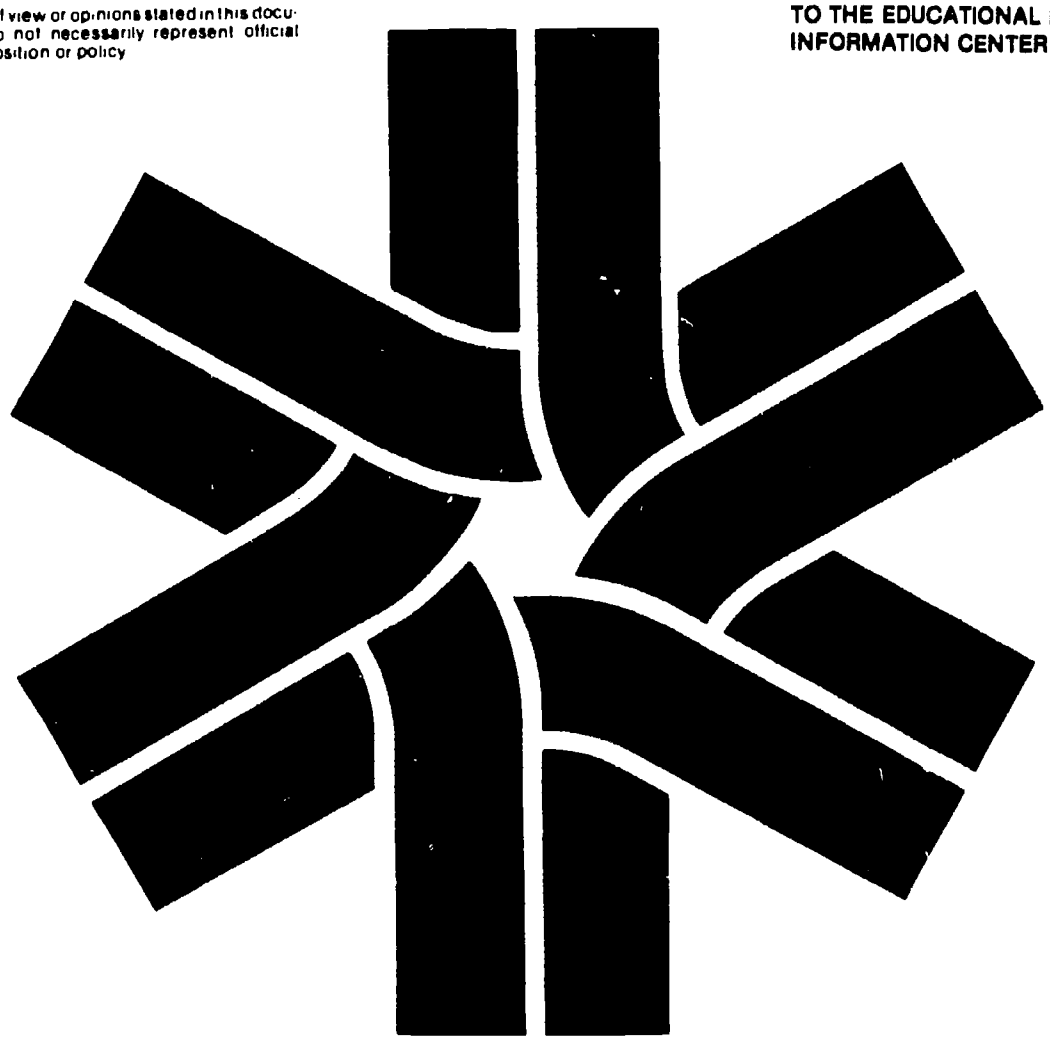
ABSTRACT

Readings collected from "Educational Leadership" are presented to leaders in educational settings who work with teachers to improve curriculum development, to promote professional growth, and to improve instruction. This selection of readings is organized under nine headings: (1) History, Nature, and Purposes of Educational Supervision; (2) Tasks of Educational Supervision; (3) Trends in Organization for Supervisory Services; (4) Human Skills in Supervision; (5) Supervisory Techniques for Planning and Managing Educational Programs; (6) The Supervisor as Facilitator in the Improvement of Teaching and Learning; (7) The Supervisor as Leader in Curriculum Development; (8) The Supervisor as Leader in Staff Development; and (9) The Supervisor as a Researcher and Member of the Profession. Each topic begins with an overview, which relates the topic to educational supervision, and then directs the reader to the interaction of the articles to each other with questions. Each of the nine topics includes several articles. Appended is a Guide for Readers that presents a matrix in which 14 publications are keyed to the topics and through the topics to the articles in this book of readings. (LMS)

# readings in educational supervision

Edited by Edith E. Grimsley
and Ray E. Bruce







Association for Supervision
and Curriculum Development

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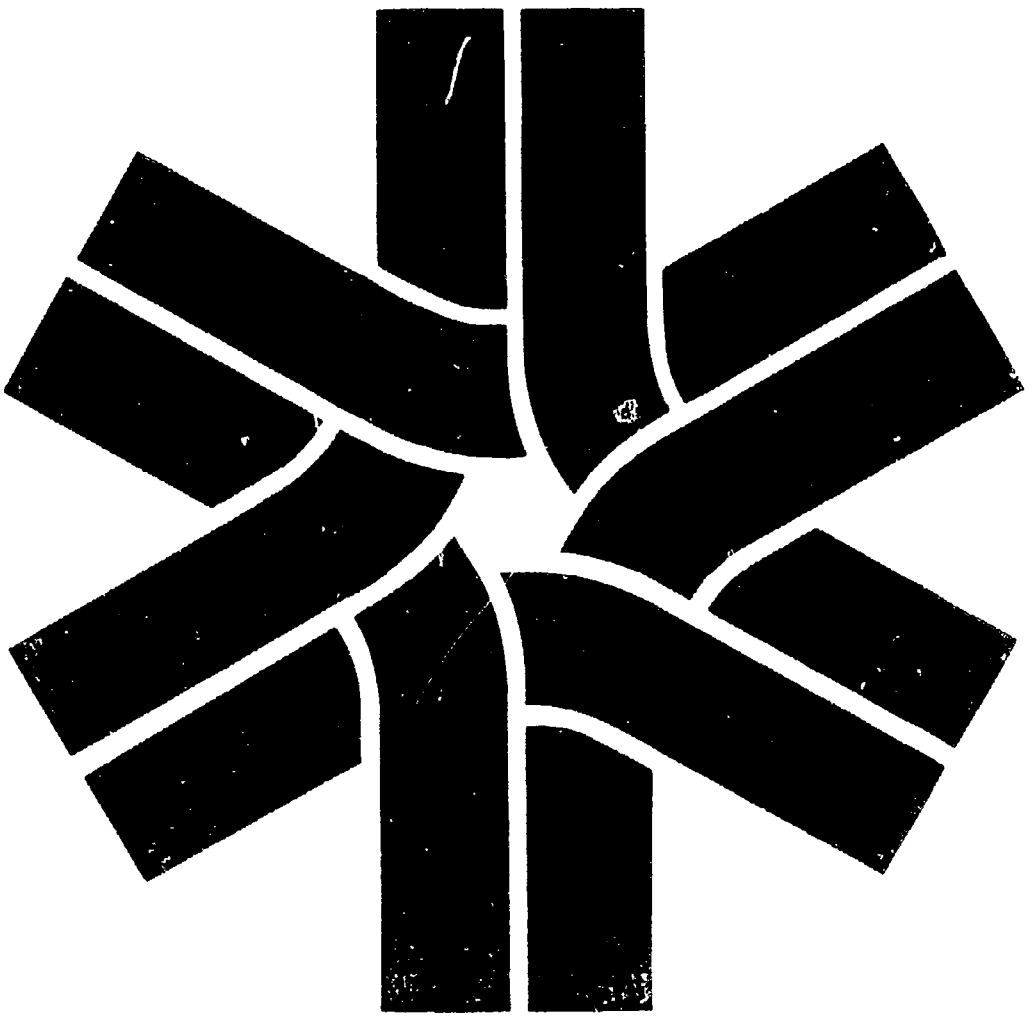

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# Contents

# Introduction

THIS COLLECTION OF READINGS IS ADDRESSED TO THOSE LEADERS in educational settings who work with teachers and others to improve the program for learners by fostering curriculum development, promoting professional growth, and improving instruction. This book will also appeal to students who wish to explore the scope of educational supervision and to all who see educational supervision as an essential function in effective schools.

The inclusion of the term educational supervision in the title of this book was deliberate. This term signals a definition of supervision for schools that demands leadership for curriculum development and staff development as well as for the generally accepted area of instructional improvement. In school districts throughout the country "supervisors" have primary responsibility in these three task areas. In larger districts the task areas may be separate assignments, but in a great many more one individual is responsible for all three. In the absence of "supervisors" it is these areas which suffer most. Readers who reject this view of supervision and who subscribe to clinical or industrial models of supervision will still find some of the articles directly helpful and others instructive. Readers who argue for collaborative or peer supervision and those who endorse developmental supervision will be able to find in this collection articles to support and elaborate their supervisory orientations.

The selections persented here are organized under nine topics—(A) history, nature, and purposes of educational supervision, (B) tasks of educational supervision, (C) trends in organization for supervisory services, (D) human skills in supervision, (E) supervisory techniques for planning and managing educational programs, (F) the supervisor as facilitator in the improvement of teaching and learning, (G) the supervisor as leader in curriculum development, (H) the supervisor as leader in staff development, and (I) the supervisor as a researcher and member of the profession. These topics are those most frequently addressed by writers of textbooks on educational supervision and by instructors who teach courses that provide an introduction or orientation to the field of general supervision in schools. Practitioners will recognize Topics A, B, and C as related, respectively, to the historical background of supervision, the unique responsibilities of the function of supervision, and the ways in which schools and school systems organize to deliver supervisory services. They will further recognize Topic D as a crucial skill area in their day-to-day work with people. Practicing supervisors will find in the remaining topics, E through I, articles directed toward their primary responsibilities.

A brief overview introduces the set of selected readings for each topic. In each overview the topic is introduced and an attempt is made to establish the contribution and relationship of that topic to educational supervision. Each overview includes a discussion of the relationship to each other of the articles selected for that topic. In addition, the overview directs the reader to the articles through questions designed to stimulate interaction and reaction.

Each of the articles—selected to elaborate one of the nine topics we have identified—has been published in *Educational Leadership*. Interest in or concern for each of those nine topics has varied widely in recent years. Since most writers tend to address interests and concerns that are immediate and widespread, there

were, in recent months, many articles available on some topics and almost none on others. This "pendulum of interest" forced us to draw from issues of *Educational Leadership* as far back as 1976 in order to get the quantity and quality of articles necessary to provide balanced treatment of the topics. Of the 42 articles selected, 27 bear the date of 1980, 1981, or 1982. Authors of the articles include practitioners of supervision and prominent writers and opinion shapers in the field.

The final section of the book is designed to be of particular help to instructors and students in graduate courses in educational supervision. It includes a matrix in which 14 publications—13 major textbooks of recent publication and the 1982 ASCD Yearbook, *Supervision of Teaching*—are keyed to the topics and through the topics to the articles in this book of readings.

It has been our purpose to glean from the articles recently published by ASCD in *Educational Leadership* those which have most to offer to students of educational supervision and to practitioners in the field. Our further purpose has been to organize these articles, written at different times and for different purposes, in such a way that the volume would have cohesiveness. We believe that the impact of the total collection offered here can be greater than the individual articles.

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## Topic A

# History, Nature, and Purposes of Educational Supervision

SCHOOL SUPERVISION OF SOME TYPE HAS BEEN PRACTICED since the earliest days in colonial America. At that time supervision took the form of administrative inspection by ministers, trustees, and other lay groups. Later the responsibilities for supervision became the job of the superintendent at the district level and the principal or teaching principal at the building level. The earliest professionals who devoted full time to instructional supervision appeared on the educational scene in the late 1800s in city schools. Instructional supervisors for rural schools followed in the early 1900s.

In those early days the administrative inspectors "visited" schools, observed teachers, and quizzed students to ensure that order was kept and that teachers were performing their duties. As the attitude of responsibility for the improvement of teaching—rather than simply monitoring the process—began to develop, inservice education was conducted by the superintendent or supervisor. The activities of inservice education were intended to train teachers to use "the best" methods of teaching reading, arithmetic, and other subjects.

Supervision as a helping or service function gradually evolved. Gradually, too, has grown the recognition that supervision as a function embraces many tasks and that these tasks are deployed quite differently from one school system to the next. Among most writers in supervision, it is accepted that whoever performs a task of supervision is, for that time at least, a "supervisor." The shift in thinking from supervision as the activity of one person to supervision as a school function involving many people began and developed as autocratic supervision gave way to scientific supervision which, in turn, gave way to democratic, cooperative, and human relations models. Most recently at least one writer has espoused a human resources model to guide the delivery of supervisory services.

Supervision in education exists to facilitate effective instruction. Supervisors work with teachers and other staff members to help improve instruction, develop curriculum, and promote the professional growth of all staff members. Supervisors provide leadership for change in schools—in teaching practices, in curriculum, and in other areas that affect the quality of the instructional program.

The articles in this section were selected to provide a foundation for the topics that follow. They should stimulate thought about the nature and purposes of supervision by raising questions about how well the purposes are being achieved, by providing insight into at least one historical period in supervision, and by casting supervision in the leadership mode.

Cawelti and Reavis identify four major instructional improvement processes used by schools to provide instructional services to teachers. They report the findings of an ASCD study conducted to determine the perceptions of teachers, supervisors, principals, and superintendents and assistants regarding the extent to which instructional services were perceived to meet the needs of teachers. Practitioners will find the article helpful as they seek better ways to improve instructional

services. Students of supervision will be challenged to look for implications of the findings for practice and further study.

Glanz provides the only article dealing with the history of school supervision published by *Educational Leadership* in recent years. He feels that "our image of the past has importance for awareness of present conditions as well as future possibilities." He provides an interesting glimpse of supervision in the late 19th century and sheds light on the superintendent's role in shaping the direction of supervision during that period.

Sturges reports findings of an ASCD working group who examined the roles and responsibilities of supervisors. He announces that a review of the literature of supervision "does not yield a definitive role description for instructional supervisors." According to Sturges, "there are—or should be—two distinct positions: the *administrative* supervisor and the *consultative* instructional supervisor." Students of supervision will find much in the article to stimulate discussion.

Sergiovanni distinguishes between strategic and tactical requirements of leadership and offers ten principles of quality leadership, the 10-P Model. He discusses Japanese management, but quickly adds that we do not have to look to the Japanese for evidence to corroborate or validate the 10-P Model; he believes that enough evidence exists in its favor in the United States. Supervisors and prospective supervisors will want to reflect on the 10-P Model and its implications for their leadership behavior. Especially will they want to examine the four Ps—perspectives, principles, platforms, and politics—in relation to the history, nature, and purposes of educational supervision. Sergiovanni has urged consideration of a model he has developed for supervision that he calls the Human Resources Model. The reader will find it helpful to examine the article by Sergiovanni offered here for the relationship between the 10-P Model and the Human Resources Model.

The area of interest suggested by the title given to Topic A—History, Nature, and Purposes of Educational Supervision—is, indeed, a broad one. That breadth resulted in a sampling of articles for the topic whose individual emphases are so widely scattered that the articles defied comparison. However, the articles are individually important and contribute to an understanding of Topic A. The following questions may prompt a closer look at the articles and stimulate discussion. What are the areas of agreement between the findings of Cawelti and Reavis and those of the ASCD working group reported by Sturges? In your experience is there (or should there be) two distinct positions: *administrative* instructional supervisor and *consultative* instructional supervisor? What, if any, are the "holdovers" or traces of 19th century supervision in today's schools? How does supervisory leadership as you have experienced it measure up when Sergiovanni's 10-P Model is applied?

# HOW WELL ARE WE PROVIDING INSTRUCTIONAL IMPROVEMENT SERVICES?

## *TEACHERS ARE LESS SATISFIED THAN ADMINISTRATORS WITH SCHOOL DISTRICTS' EFFORTS TO IMPROVE INSTRUCTION.*

GORDON CAWELTI AND CHARLES REAVIS

With the continuing press to improve the quality of schooling, it is important to seek agreement on the most productive avenues for school improvement. In this article we delineate the skills needed to improve instruction and report on an ASCD-sponsored research project carried out during the 1979-80 school year.[1]

The four major instructional improvement processes[2] used by school systems to provide instructional services to teachers are:

- Curriculum development—assessing needs, setting goals and objectives, selecting and organizing content and learning activities, and evaluating the curriculum.
- Clinical supervision—holding planning sessions with teachers before classroom visits; observing instruction; and, after observing, analyzing the thinking-learning process.
- Staff development—providing inservice based on teachers' and leaders' needs and on knowledge of how adults learn. Experienced-based learning is far more effective than didactic approaches.
- Teacher evaluation—determining the professional adequacy of individual teachers. Since the purpose of teacher evaluation is to improve teaching, good evaluation procedures can focus on characteristics of teaching that are substantive and related to effective teaching, rather than on trivial "trait" factors.

These components must be available to teachers when they are needed and through processes considered useful by teachers themselves. They must be available from some level (building, region, district, or service agency) but there is probably no one best way to organize for instructional improvement.

The ASCD study investigated perceptions of trends in the ways school districts provide instructional leadership in these areas. ASCD team members[3] visited school systems in seven

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**Educational Leadership** 38 (Dec. 1980): 236–240

| Reference Group | Large Cities (7) | Medium Cities (6) | Suburban (3) |
|---|---|---|---|
| Teachers | 357 | 386 | 112 |
| Principals | 50 | 46 | 19 |
| Supervisors | 68 | 35 | 24 |
| Superintendents and Assistants | 10 | 5 | 2 |

FIGURE 1

large cities, six medium-sized cities, and three suburban communities. Data were collected through interviews and questionnaires given to four reference groups—teachers, principals, supervisors, and superintendents and assistants—in 16 school districts (Figure 1).

Members of each of the four groups were asked to rate on a scale of one to five (five being high) the extent to which each of the instructional services met their teachers' needs.

### Adequacy of Curriculum Improvement Services

Figure 2 shows the percentage of respondents who rated curriculum services "4" or "5." Only 28 percent of 357 teachers in the seven urban school districts rated curriculum services high, compared to 34 percent of the supervisors and 41 percent of the principals from these urban districts. This finding revealed a general trend —those reference groups farthest from teachers regarded the adequacy of services more favorably than did teachers themselves.

In most districts, only about one-fourth to one-third of the teachers felt their curriculum improvement needs were being met. Perceptions of groups in suburban schools were more positive than in other types of districts, perhaps because more leadership personnel are available in such districts to provide instructional services.

### Supervisory Services

As shown in Figure 3, instructional supervision was rated the least adequately provided service in all three

FIGURE 2

**CURRICULUM IMPROVEMENT**

PERCENTAGE EXPRESSING HIGH AGREEMENT THAT TEACHERS' NEEDS ARE BEING MET

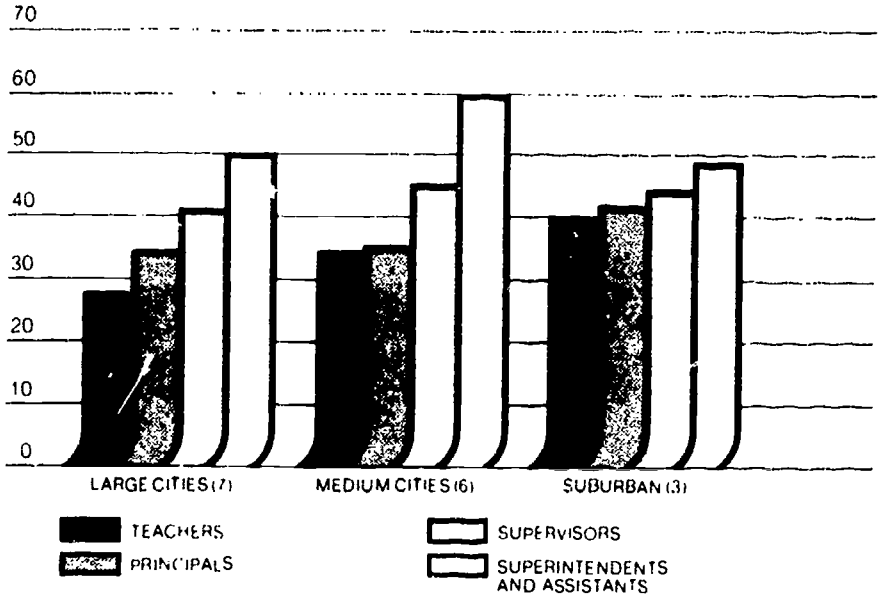


FIGURE 3

**INSTRUCTIONAL SUPERVISION**

PERCENTAGE EXPRESSING HIGH AGREEMENT
THAT TEACHERS' NEEDS ARE BEING MET

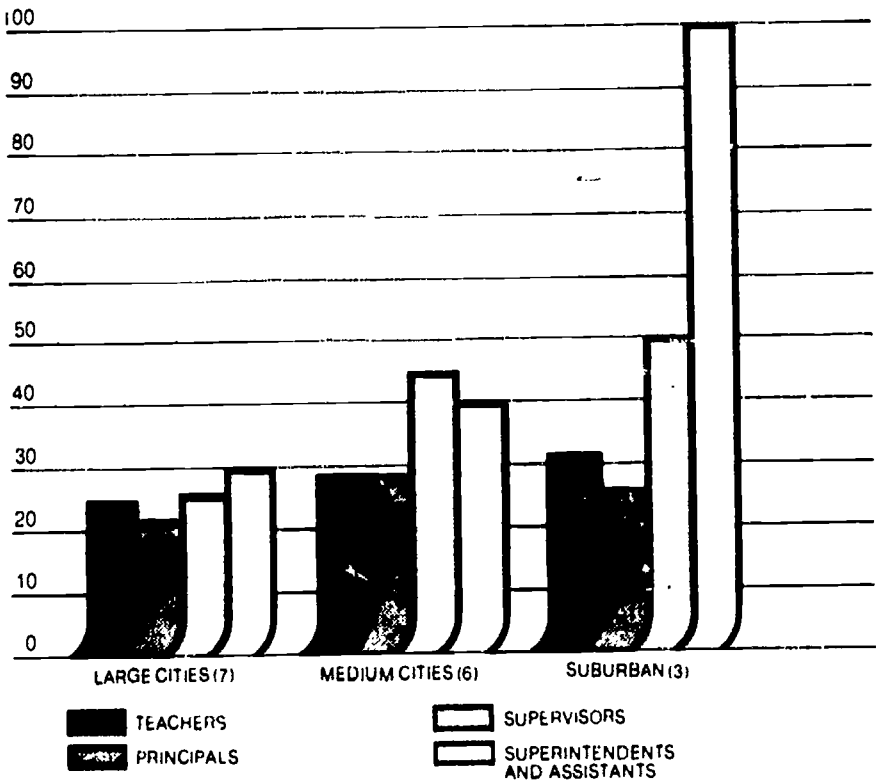
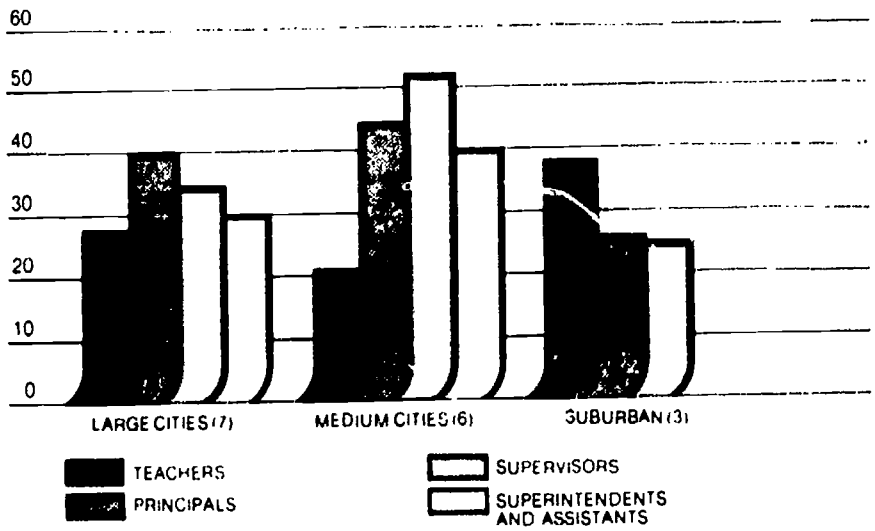



FIGURE 4

**IN SERVICE EDUCATION**

PERCENTAGE EXPRESSING HIGH AGREEMENT
THAT TEACHERS' NEEDS ARE BEING MET




types of communities and by each of the four reference groups. Only 25 percent of the urban teachers rated supervisory services high. Again, the nonteacher groups felt supervision was somewhat more adequately provided than did teachers. Those groups also felt supervisory services had improved somewhat in the last five years, a view not shared by teachers. Only about 15 percent of the teachers reported having any experience with clinical supervision, except in medium-sized cities where about a fourth said the clinical model had been followed.

**Staff Development**

Figure 4 reveals that only about a fourth of the groups rated their districts high in meeting teacher staff development needs. There was little difference among the types of communities surveyed. One-day, district-run workshops or demonstrations were not frequently used for inservice education. Many teachers felt that more supervisors and administrators than teachers had opportunities for staff development. Teachers often felt that new ideas were subsequently imposed on them by supervisors and administrators without adequate training for the teachers. (Several teachers, for example, mentioned they were required, without sufficient training, to develop individualized education programs for special education students.)

One particular aspect that was studied was whether or not supervisors and principals focused on certain factors in their instructional improvement efforts during the past year. Some of these factors were derived from the research on effective teaching practices (high expectations, task orientation, climate, and abundant materials) while others were more typical characteristics of teaching often mentioned in observation reports but without a research basis for inclusion.

Figure 5 reports the percentage of teachers, principals, supervisors, and superintendents/assistants who said instructional improvement efforts had focused on each factor. These data were obtained from the seven urban school districts, but the findings are consistent with indications from the other two types of districts. They show that:

- The results of research on effec-

tive teaching are finding their way into supervisory practices.

- Principals, supervisors, and superintendents/assistants feel attention has been given to direct instruction techniques. Teachers perceived this to a smaller extent.
- Factors such as bulletin boards and audiovisual materials have received less attention. The relationship of these factors to high achievement has been less firmly established.

**Teacher Evaluation**

Figure 6 shows that again only about a third of the respondents felt that teacher evaluation is being done well. Interestingly, supervisors consistently rated this service less favorably than any of the other groups, including teachers. This may be because such persons, who are in a staff position, observe weaknesses they can do nothing about.

Half or more of the respondents reported that the evaluation process included some kind of self-evaluation. Evaluation by students was reported by 20 percent of the urban teachers and 35 percent of the suburban teachers, but the study did not establish whether this was part of an "official" evaluation. Student evaluation of teachers was reported much less by principals, supervisors, and superintendents, which suggests that it was often not "official."

**Trends**

Another analysis sought to determine the effects of declining enrollments, decentralization, collective bargaining, management efficiency studies, principals' ability to provide instructional support services, and diminishing revenues on the capability of districts to provide instructional services. Results showed a positive effect on supervisory services by decentralization and meet and confer agreements. There was a negative effect by collective bargaining. The other hypothesized influences showed no effect on supervisory services.

The study did not conclude, then, whether diminishing revenues and declining enrollments have caused deterioration in the quality of instructional services. But it is clear just from observation that budget cuts have reduced the number of professionally trained people available for supervision and curriculum improvement work.

FIGURE 5

**URBAN**

Percentage of Persons Saying Selected Teaching Practices Had Been the Focus of Instructional Improvement Efforts—Urban

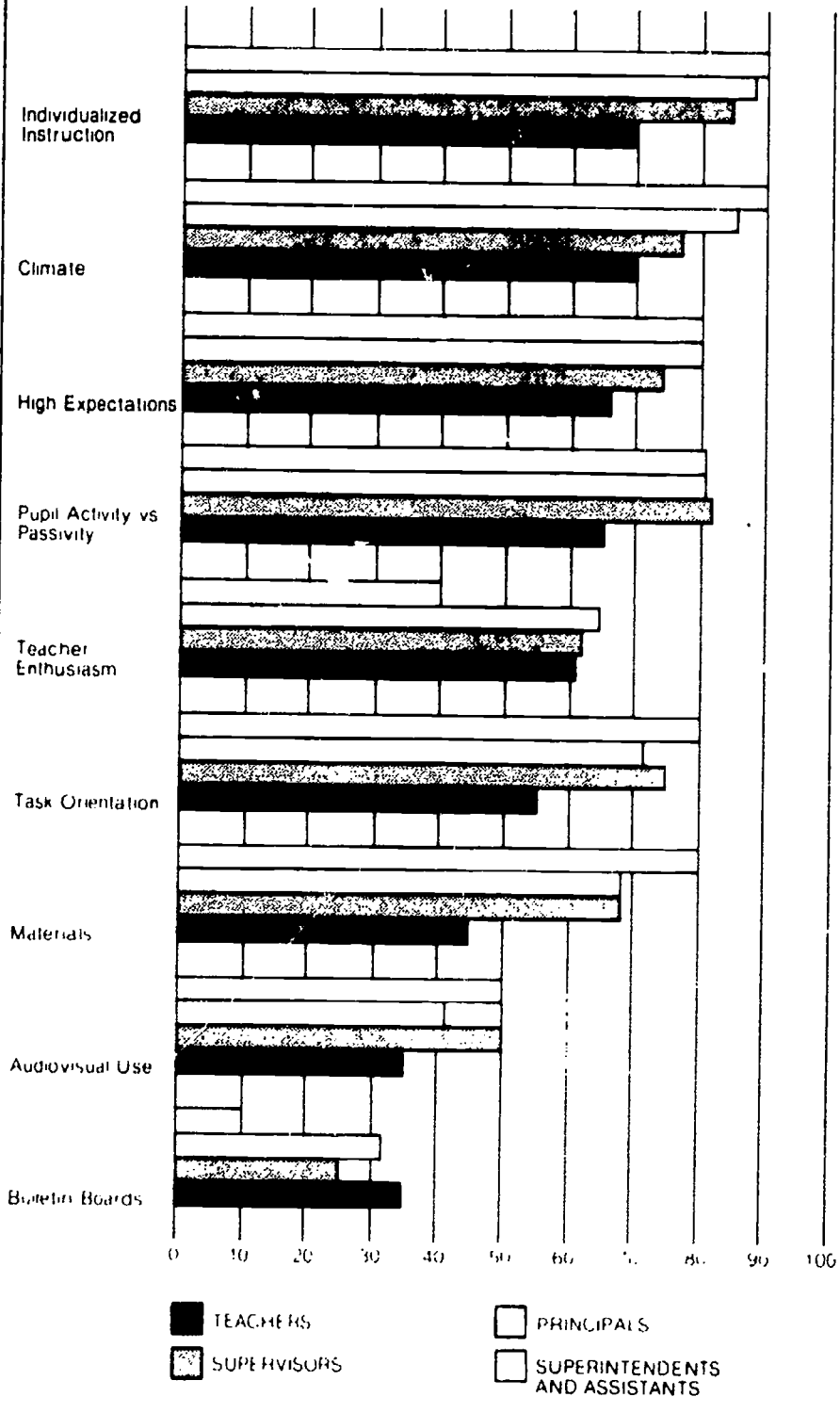
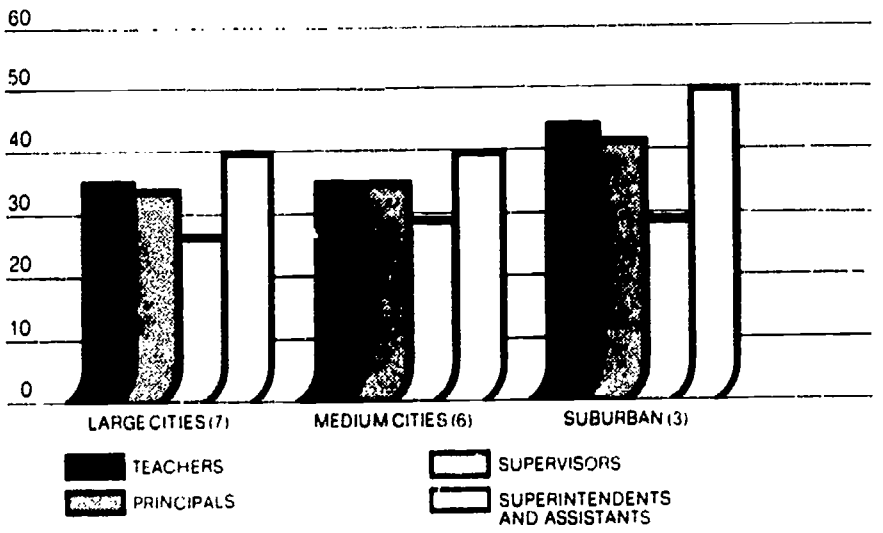


FIGURE 6

**TEACHER EVALUATION**

PERCENTAGE EXPRESSING HIGH AGREEMENT
THAT TEACHERS' NEEDS ARE BEING MET




Best bets for improvement of instructional services emerging from this study include:

1. Decentralization of services using a regional office pattern.
2. Utilization of principals in instructional improvement.
3. Reorganizing/redefining supervisory services to emphasize a more supportive orientation (with the backing and follow-up of top administration).
4. Increasing supervisory services (teachers who reported more involvement in any kind of services were much more likely to report that supervisory services met their needs to a high degree).

Further research is needed to determine if it can be demonstrated that a "critical mass" of instructional improvement effort results in improved achievement, better articulated curriculum, more skillful teaching, a more positive school climate, and so on. Other questions on which more research is needed include: At what level in a school district is curriculum development work best accomplished —in the central office or the school? Where should the responsibility and resources for staff development be assigned?

Another ASCD study carried out by Bruce Howell, to be reported in a future issue of *Educational Leadership*, found that time logs of principals across the nation reveal that principals spend less than one third of their time in instructional leadership activities. Senior high principals reported only 20 percent of their time was spent on visiting classes, curriculum work, or staff development activities.

It is a responsibility of any profession to continually seek evidence on how well its clientele is served and how services can be improved. ASCD hopes to continue funding research intended to establish the efficacy of instructional improvement efforts. ■

[1] The detailed report has been submitted to Educational Resources Information Center for dissemination.

[2] Gordon Cawelti, "Effective Instructional Leadership Produces Greater Learning," *Thrust* 9 (January 1980): 8-10.

[3] Charles Reavis (Project Director), Bruce Howell, Marcia Knoll, Jim Huge, Cathy Rolfs, Robert H. Anderson, and Carlos Lebya.

# EFFECTIVE STAFF DEVELOPMENT

The **TIME** model for effective staff development stipulates four necessary elements for training people to acquire new skills.

**T—*Theory.*** Base training sessions or inservice on a proven theory; avoid cookbook approaches.

**I—*Instruction and Interaction.*** Give trainees plenty of time to discuss, raise questions, critique, and share their experiences.

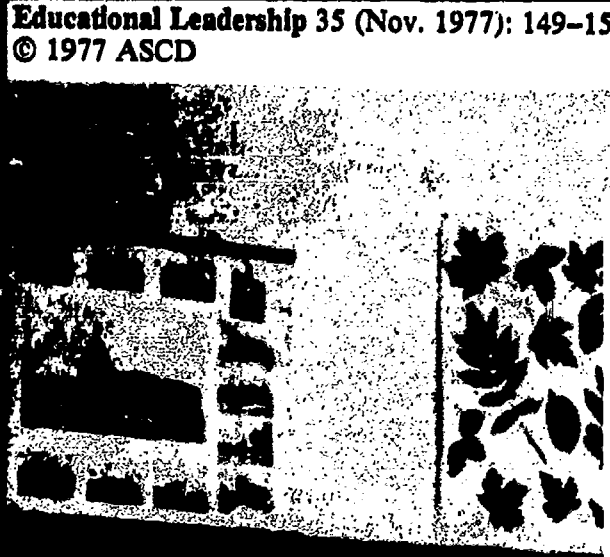
**M—*Modeling.*** Show participants the desired behaviors; use live classes, real people, and videotapes or films.

**E—*Enactment.*** Provide for trainees to actually do the kind of teaching or other behavior being taught.

Based on their analysis of more than 200 research studies, Joyce and Showers[4] add that *coaching* and *feedback* (on the skills to be acquired) are also essential ingredients of effective staff development.

[4] Bruce Joyce and Beverly Showers, "Improving Inservice Training: The Messages of Research," *Educational Leadership* 37 (February 1980).

Educational Leadership 35 (Nov. 1977): 149–154

# Ahistoricism and School Supervision: Notes Toward a History

Jeffrey Glanz

*Key questions relating to the role and function of supervision can be clarified and at least partially answered through a study of the rather elusive history of that field. Here are some beginning notes toward a study of the history of supervision.*

*Setting:* A graduate school of education

*Course:* Supervision in the Elementary and Secondary Schools

*Time:* New semester, second session (one minute before class)

*John:* "Hey Bob, I couldn't make it last week, did I miss anything?"

*Bob:* "Naw, don't worry, the prof only talked about the history of supervision. Today we're supposed to begin the 'real' part of the course."

It would not be inaccurate to assume that people in various fields of study, such as physics, sociology, or education, have varying degrees of consciousness regarding their historical traditions. The degree to which educators, in general, have

attempted to examine their inherited modes of behavior and action has certainly been miniscule. Different attitudes have been conveyed concerning the lack of historical awareness into educational problems and issues. On the one hand, some historians have tended to lament the ahistorical nature of educational thought and practice. On the other hand, some educationists have expressed ambivalent views concerning the useful and pragmatic consequences of historical inquiry. In recent years, however, the number of historical studies in education has markedly increased. Interest in American educational historiography has focused attention, although to a limited extent, to sub-specialties within the field of education. The field of curriculum is a prime example (Bellack, 1969; Kliebard, 1976). To a greater degree than ever before, history, as a mode of inquiry, is being recognized as a valuable resource for the contemporary educator.

Considering this recent interest in history, it remains difficult to understand how an important and pervasive school function such as supervision has escaped historical investigation. Indeed, those presently concerned with school supervision, as a professional enterprise and field of study, are in a state of "historical unconsciousness." Even the recent ASCD yearbook, a volume devoted to historical inquiry, has given insufficient attention to supervision apart from curriculum development from a historical perspective (ASCD, 1976). In 1943, when the Department of Supervisors and Directors of Instruction merged with the Society for Curriculum Study to form ASCD, it was readily understood that the new organization would serve the needs of both the curriculum worker and school supervisor. Attesting to the neglect of the supervisor as practitioner and of supervision as a field of study, a recent article in *Educational Leadership* called "for putting the 'S' back into ASCD" (Krajewski, 1976, p. 376).

The fictitious scene described at the outset of this article is indicative of the role history has played in courses in supervision. Indeed, the student is given a brief encounter with the history of the field merely as a lead into the "core" of the course. It is our contention that supervision as a professional field of study and practice does have a history that deserves examination for its own sake. This writer is not convinced that historical exploration will alter existing conditions in our schools, but there remains a strong belief that we can begin, perhaps, to understand and become aware of the problems that have plagued supervision in schools. In fact, our image of the past has importance for awareness of present conditions as well as future possibilities. Our purpose in these few pages, then, is to revive historical sensitivity in the field of supervision.

## Directing Our Focus On Supervision

Throughout most of the nineteenth century, city school systems were controlled by loosely-structured, decentralized wardboards. Beginning in the late nineteenth century, educational reformers sought to transform schools into a tightly organized and efficiently operated centralized system. Recent educational historiography has focused attention to this period in the late nineteenth century during which the movement toward centralization in large urban cities gained considerable momentum. Tyack, for example, described the centralization movement as one that placed power with the superintendent to expertly administer urban schools (1974). In general, reformers during this period sought to remove the schools from what they considered to be harmful, bureaucratic influences. The pervasive lay control was considered anathema to these reformers. Centralizers, such as Nicholas M. Butler and Andrew S. Draper, sought to "remove the school from politics" by placing the superintendent in power to control, legislate, and assume responsibility. Indeed, these reformers eventually succeeded in shifting the direction and responsibility of schooling to the superintendent.

Although the centralization of urban schools in the late nineteenth century has been explored in detail by many historians, an important factor seems to have been overlooked, or at the very least minimized; that is, the importance that school supervision assumed during this period. A recently completed study found that supervision, as the primary function of the superintendent, played an important role in the movement toward centralization in large urban cities. Supervision, it was found, became an indispensable means by which superintendents would

*James M. Greenwood's supervisory methods, which relied on experience and intuition, were widely adhered to in the late nineteenth and early twentieth centuries. Photo: Bachrach's of Boston.*

maintain control over schools as well as inculcate certain bureaucratic values and ideas into the schools. In essence, supervision was found to be a convenient control mechanism of the superintendent. This study attempted to present one possible interpretation of the history of supervision (Glanz, 1977). Still, we need additional historical investigations to further analyze the role supervision has assumed. By directing our attention to supervision, historically, we can begin perhaps to realize where we have come from, where we are, and where we can go. Let us begin to explore some of the views of our historic forebears in the late nineteenth century concerning centralization, and more importantly, school supervision.

## A Glimpse of Supervision in the Late Nineteenth Century

Centralization as a plan for urban school organization, according to A. S. Draper, who was a prominent superintendent from Cleveland, Ohio, was advantageous because "it confers authority, . . . it involves close supervision of instruction, . . . it harmonizes and solidifies the force. . . ." (1894, pp. 307-8). Draper also realized that the superintendent would be afforded a greater degree of authority. "I am not in favor of limiting the authority of city superintendents. If I could," insisted Draper, "I would confer upon them much broader authority than they now have" (1890, p. 467). Draper was no exception. ". . . I am a firm believer in one-man power," claimed Israel H. Peres of Memphis, Tennessee. Peres maintained that the "superintendent should be superior to the teacher in mental power, culture, and experience" (1901, p. 827). Similarly, Emerson E. White, another leading superintendent, stated in 1895 that "a school superintendent should be a Caesar, a Solomon, and an angel, all in one person!" (1895, p. 224).

The belief that the supervision of instruction would be "the most essential part of the work of a school superintendent" was widely held (Dutton and Snedden, 1922, p. 300; Pickard, 1890). "We must have supervision," stated J. P. Wickersham in 1872, "Hence, we must have superintendents" (1872, p. 257). Thus, in examining the period before 1900, we find that the function of supervision was primarily controlled and performed by the superintendent of schools.

It is evident that to describe the function of supervision in the late nineteenth century one must explore the activities of the school superintendent. Upon such examination, it is unmistakably evident that much of the superintendent's time was spent in "teaching his teachers how to teach." A. W. Edson, county supervisor in Massachusetts, stated in 1893 that "a superintendent should be first of all a teacher of teachers. . ." (1893, p. 394). Edson, like many of his contemporaries, believed that most teachers were weak and needed assistance. Thus, the superintendent as supervisor was needed.

In a revealing address delivered before the National Educational Association in 1888, James M. Greenwood, a prominent superintendent, described what perhaps may have been the typical affairs of a superintendent performing the function of supervision:

> Going into a school, I try to put aside everything like authority, or superiority, and to approach the teacher in a proper spirit of helpfulness. . . .
>
> What To Do?
>
> 1. I go in quietly. 2. I watch the teacher and pupils awhile. . . . 3. Sometimes I conduct a recitation, . . . and thus bring out points in which she may be deficient. . . . 4. If suggestions should be made to the teacher, I do so privately, or request her to call after school. . . . I think the question may be put in this form: Given the teacher, the school, the defects; how to improve them?

*William Torrey Harris greatly influenced the direction that supervision took in the late nineteenth century. Photo: The Library of Congress Photographic Division.*

Signs To Look For

1. Common sense. 2. Good health. 3. General scholarship. . . . 5. Order. 6. Ability to manage hard cases. 7. Power to teach. . . . 14. Pleasant voice. . . . 17. Disposition to scold and to grumble. . . . 19. Neatness and cleanliness of room, desks, etc.

Sometimes I jot down items that need attention and hand them to the teacher. . . .

Very much of my time is devoted to visiting schools and inspecting the work (1888, pp. 519, 520, 521).

Greenwood, three years later in 1891, again illustrated his idea of how supervision should be performed. The skilled superintendent, said Greenwood, should simply walk into the classroom and "judge from a compound sensation of the disease at work among the inmates" (1891, p. 227). There is much evidence to infer that Greenwood's supervisory methods, which relied on experience and intuition rather than technical or scientific knowledge, were widely adhered to.

It seems clear that the superintendent as supervisor did not favorably view the competency of most teachers. In 1894, T. M. Balliet of Massachusetts insisted that there were only two types of teachers: the efficient and the inefficient (1894, p. 377). The only way to reform the schools, thought Balliet, was to "secure a competent superintendent; second, to let him 'reform' all the teachers who are incompetent and can be 'reformed'; thirdly, to bury the dead" (1891, pp. 437-38). Characteristic of the remedies applied to "improve teaching" was this suggestion: "Weak teachers should place themselves in such a position in the room that every pupil's face may be seen without turning the head" (Fitzpatrick, 1893, p. 76). It would not be unfair to conclude, then, that supervision in the late nineteenth century seemed to thrive, in a sense, on teacher incompetence.

## Autocracy in Supervision: Some Exemplars

Within the context of centralization, it is not surprising that autocratic tendencies dominated school supervision in the late nineteenth century. Certainly the impulse toward bureaucratic governance and autocratic supervision must be explained in terms of the socioeconomic-political conditions of the time. However, the particular values, ideas, and beliefs of the people who advocated autocratic supervision are also of considerable importance. It was men like W. H. Payne, W. T. Harris, and W. E. Chancellor, as progenitors, who articulated the ideas of order, control, and autocratic supervision.

William Harold Payne was a prominent superintendent as well as a prolific writer on supervision. He authored the first text published on supervision in 1875, entitled *Chapters On School Supervision* (1875). Payne believed that teachers were weak and ineffective. Teachers, thought Payne, need "external aid" (1887, p. 331). The superintendent as supervisor, of course, would provide this assistance. Payne never questioned the emerging hierarchy in schools. In fact, he, as much as anyone, contributed to conceiving schools as hierarchical arrangements. "Human society is also a hierarchy of forces. Organization implies subordination," said Payne. He asserted that "the many must follow the direction of the few. . . . The weak are to be protected by the strong. . . ." (1875, pp. 13, 14). Related to his views on the school hierarchy, Payne noted that "women can not do man's work in the schools."

Women, said Payne, must instruct children "up to the age of nine years . . . beyond this time there are some branches, as physics, chemistry, and mathematics, which are best taught by men" (1875, p. 49). Other nineteenth-century educationists had similar views.

William Torrey Harris, perhaps the most prestigious educator of his time, greatly influenced the direction that supervision was to take in the late nineteenth century. Harris maintained that "the first prerequisite of the school is *order*" (1871, p. 31). Nonconformity and disorganization were evils that had to be expunged, thought Harris. Freedom was not considered by Harris to be a viable option for teachers. This is best evidenced in Harris' notion of "supervisory devices," which were to be used by the superintendent to improve "the method of instruction or the method of discipline." Harris contended that this device also proved quite effective "in strengthening the power of governing a school. . . ." This device, said Harris, "is the practice of placing teachers weak in discipline on the 'substitutes' list and letting them fill vacancies here and there as they occur through the temporary absence of the regular teacher." "I have known teachers that had become chronic failures in discipline entirely reformed by a few weeks of such experience," said Harris (1892, pp. 171, 172). The nineteenth-century superintendent as supervisor believed that employing such supervisory methods would beneficially affect instruction and teaching in the schools.

William Estabrook Chancellor, another leading superintendent, maintained that the hierarchy of officers in the American public school system afforded the superintendency greater prestige and authority. Thus, said Chancellor, the superintendent would be in a better position to perform the function of supervision. Chancellor tried to convince the public that there was little difference between teachers and supervisors. However, a close examination of his ideas belies this view of equality or democracy. Chancellor explained that supervising officers "are not necessarily higher in character, ability, energy or scholarship" than teachers, "though they usually receive more money." He admitted using the words "superior" and "subordinate," because there was "no other way to express the relations of superintendent, principal, and class teacher." But, he continued, they were related in only one way: "administrative and supervisory, not necessarily intellectual and moral." This was because administrative ability was more highly valued than teaching; Chancellor could not be more correct (1904, p. 106). It is also interesting to note Chancellor's views of women in supervisory positions. He states:

> That men make better administrators I have already said. As a general proposition, women make the better supervisors. They are more interested in details. They do not make as good associate or assistant superintendents, however (1904, p. 210).

## Conclusion or Just a Beginning?

At present, supervision as a field of study has little by way of history. It has been my purpose in these few pages to help us move toward constructing a history. I have only touched the surface by asking such questions as "Who was the supervisor?"; "What was the role and function of the supervisor?"; "How were supervisory practices conducted?"; and "Who were the people advocating these practices?" If present-day educators, and particularly supervisors, are to become "conscious" of their intellectual traditions and inherited modes of operation then they must begin to understand how their field came to be as it is. It is hoped that the interested reader will join in the provocative venture of exploring public school supervision, historically.

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*Photo: Michael Sexton, Texas A&M University.*

# Instructional Supervisors: A Dichotomy

**A. W. Sturges***

*An ASCD working group recommends distinguishing between two types of supervisors: administrative and consultative.*

Almost every school district has instructional supervisors. There is little agreement on what they do or what they should do, yet 92 universities (NCATE, 1978) are preparing them at the doctoral level. The problem of knowing what instructional supervisors should do is not of recent vintage; authors have been addressing the problem for over 30 years. But we are getting closer to an answer.

A working group of ASCD has tried to define the roles of instructional supervisors by reviewing more than 100 research reports, texts and articles, standards of regional accrediting agencies, current certification requirements, and

* This is a summary of a report by an ASCD working group that examined the roles and responsibilities of supervisors, submitted to ASCD October 1, 1978. Members of the working group are A. W. Sturges (chairperson), R. J. Krajewski, J. T. Lovell, E. McNeill, and M. G. Ness. Lovell had primary responsibility for the literature review; Krajewski was primarily responsible for the survey results and the review of existing programs.

current views of one senior official and one member from each of several professional organizations representing those who prepare, employ, and work with instructional supervisors. From these data, definitions of the roles of instructional supervisors were developed that indicated that there are—or should be—two distinct positions: the *administrative* instructional supervisor and the *consultative* instructional supervisor.

## Survey

The executive director and one representative member from each of seven professional organizations[1] were contacted by telephone and asked to respond to five questions. The questions and a summary of the responses are:

1. *What are the objectives of instructional supervision?* According to principals and professors, the main objective is to help teachers with classroom methodology and management. Districtwide administrators said the most important objectives are to help teachers in curriculum development and to assist them in developing needed teaching competencies. None of the groups said evaluation of teachers for promotion and/or tenure is a major objective.

2. *What are the activities of instructional supervisors?* Districtwide administrators, principals, and professors agreed that a major activity is the improvement of teaching competencies that requires communication skills and problem-solving skills, as well as diagnostic techniques.

3. *What are the expected results from instructional supervision?* Respondents agreed that effective instructional supervision should result in a better learning climate by helping teachers develop a commitment to improvement and by reducing teacher frustrations caused by classroom discipline problems.

4. *What is the organizational structure for instructional supervision?* The organizational structure preferred by a majority of respondents is to have the instructional supervisor housed in the same building where teachers to be assisted are housed.

5. *What is the preparation for instructional supervision?* The majority of professors and instructional supervisors thought preparation should emphasize learning and human development theory. Districtwide administrators, principals, teachers, and national organization executives recommended preparation in the use of diagnostic skills in teaching children. There was general agreement among respondents that teaching experience should be required and that clinical supervision should be a part of the preparation program.

## Literature Review

A review was conducted to answer three questions: (1) What are the purposes of instructional supervision? (2) What are the roles and responsibilities of instructional supervisors? and (3) What are the activities of instructional supervisors?

*"Our study reveals a conflict: teachers want direct assistance to improve the learning opportunities of children, but they see supervisors in administrative roles not directly related to improving instruction."*

Most of the reviewed authors saw instructional supervision as a process intended to improve learning opportunities for students.

Lucio and McNeil (1969, p. 45) and Sergiovanni and Starratt (1971, p. 10) believe the purpose is to achieve specified goals.

The literature does not yield a definitive role description for instructional supervisors. What they are expected to do varies according to the positions they hold and the districts they work in. Sergiovanni and Starratt (1971) suggest that all persons who participate in supervision—regardless of their title or their other duties—are supervisors. Burnham (1976, pp. 301-05) concurs:

[1] American Association of School Administrators (AASA), American Federation of Teachers (AFT), Association for Supervision and Curriculum Development (ASCD), Council of Professors of Instructional Supervision (COPIS), National Association of Elementary School Principals (NAESP), National Education Association (NEA), and Professors of Curriculum.

"Supervision today is not the province of a particular person or a particular position——." Wiles and Lovell (1975, pp. 19-20) and Olivia (1976, p. 7) differentiate the kinds of roles found in a school system; there are those such as principals, department heads, and assistant superintendents who serve a supervisory function, but who have other duties not directly or immediately related to working with teachers. And there are supervisors who are expected, as their primary responsibility, to work directly with teachers.

Administrators sometimes place instructional supervisors in an administrative role that includes preparation of proposals for federal grants, evaluating teachers for tenure and/or salary increments, and the administration of instructional budgets. Puckett (1963) reports that teachers want classroom visits, criticism, and helpful suggestions from instructional supervisors. Colbert (1967) reports similar information. Esposito, Smith, and Burbach (1975) suggest it is possible to separate the roles of instructional supervisors into two general categories: helping roles and administrative roles.

## Preparation Programs

A summary of existing certification requirements indicates that 22 states do not have a specific certificate for supervisors, but treat them as administrators for certification purposes. Seventeen states that offer a supervisor's certificate specify the number of credit hours required in supervision and/or administration. The majority of states combine supervision hours with administration hours, or do not specify a certain number of hours. Two states require completion of an approved program.

In a 1977 study by Krajewski (1978, pp. 60-66), 45 of 48 universities responded to questions regarding their graduate programs for instructional supervisors. Twenty-seven universities indicated the program was offered by the administration department; 28 universities reported that 30-36 semester hours were required to complete the degree, and the four more frequently required courses were in curriculum development, administration and supervision, practices in educational supervision, and educational psychology. An internship is required or recommended in 25 of the 45 universities responding to the questionnaire.

## Summary

Our study reveals a conflict: teachers want direct assistance to improve the learning opportunities of children, but they see supervisors in administrative roles not directly related to improving instruction. Professors of supervision believe instructional supervisors should be "people-oriented" consultants to teachers, but the majority of state certification programs include a heavy proportion of courses in administration.

There seem to be two types of supervisory positions: *administrative* instructional supervisors and *consultative* instructional supervisors. Duties of administrative supervisors may include being responsible for federal programs, evaluating teachers for tenure and salary increments, and quality control at the district level. Some positions of this type are principal, department head, and assistant superintendent. Consultative instructional supervisors are more directly involved with helping teachers improve their methodology. Their evaluation of teacher performance is from a diagnostic point of view aimed at helping teachers improve the learning opportunities of children.

If this is the case, it would seem appropriate to have different certification requirements and different preparation programs for the two types of instructional supervisors. In addition, a clearer distinction between role types at the district level would enhance the success potential of both types. For example, administrative instructional supervisors would not be expected to be particularly effective on a one-to-one basis helping teachers improve learning opportunities for students. Consultative instructional supervisors would not be expected to have fiscal, administrative, or evaluation-for-promotion responsibilities.

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Administrators' day-to-day tactical decisions must be linked to strategic requirements.

# Ten Principles of Quality Leadership

THOMAS J. SERGIOVANNI

The most influential writers on leadership bluntly conclude that leaders do not make much of a difference on the effectiveness of their respective organizations. Their persuasive argument is based on strong evidence that the activity of leadership is both dull and mundane.[1]

One well-known theorist, James G. March, argues that leaders are interchangeable (assuming equal basic managerial competence); one leader makes no more significant impact on the organization than another.[2] He uses a light bulb metaphor: light bulbs are necessary but indistinguishable. Any light bulb manufactured to standard will do the job as well as any other.

## The Present Emphasis in Leadership

How can we account for the discouraging news that while competent leaders are necessary to ensure things will work they appear not to make much difference beyond a minimum level of satisfactory organizational performance? Part of the problem is that theory and research have emphasized too much what leaders actually do and how they behave and not enough the more symbolic aspect of leadership—the meanings they communicate to others. This shortcoming is most noticed in our almost exclusive emphasis on leadership objectives, leadership behavior, leadership outcomes, and measurable leadership effectiveness. The instrumental or tactical aspects of leadership have received attention well beyond their contribution to leadership quality. By emphasizing leadership tactics, we miss the whole point of what leadership is and can be. Needed is a strategic view of leadership that emphasizes quality.

Webster's dictionary defines *strategy* as the science and art of enlisting and employing support for certain policies and purposes and for devising plans toward goals. *Tactics*, by contrast, are defined as involving actions or means of less magnitude or at a shorter distance from a base of operation than those of strategy and as small-scale actions serving a larger purpose.

## Strategic and Tactical Requirements

Quality in leadership requires that balanced attention be given to both tactics and strategy, a delicate balance that is too often tilted in favor of tactical requirements. In part, the emphasis on tactical requirements of leadership reflects the broader management culture of Western society. Such values as efficiency, specificity, rationality, measurability, and objectivity combined with beliefs that good management is tough-minded are part of this culture. Results-oriented management is the slogan; the bottom line is worshiped; and the direct, in-control manager is admired. Broadly defined, leadership is achieving objectives effectively and efficiently. Leadership theory puts the emphasis on the leader's behavior and on results. Metaphors of the battlefield are often used to remind us that one must be hard-nosed, and that the going is tough (in the trenches, on the firing line, bite the bullet, take command, winning and losing). Evaluation is quick and to the point and success is determined on the basis of short-term accomplishments. Given the cultural demands faced by educational administrators and supervisors, no wonder the tactical requirements of leadership are emphasized. Missing from these tactical issues are holistic values of purpose, goodness, and importance. Missing also is an emphasis on long-term quality schooling.

Often attention is given to the tactical requirements because they are easy to teach and learn, specific, easily measured, can be readily packaged for workshops, and are otherwise accessible. Emphasizing the tactical, because they are accessible, reminds me of the drunk looking under the lamppost for an object lost a block away.

Strategic and tactical requirements of leadership are compared in Figure 1. For proper balance, tactical requirements should be clearly linked to and dependent upon the strategic. They represent short-term and highly focused managerial expressions that characterize day-by-day leadership activity. Separated from the strategic, they are ends in themselves devoid of the purpose and meanings needed for quality leadership and quality schooling.

Let's take as an example the important tactical skill of mastering a contingency approach to leadership, characterized by careful reading of situations and by applying the right doses of the correct mix of leadership styles. Combine this skill with a leader who has certain purposes, beliefs, and commitment to what the school is and can be and who can communicate these in a fashion that rallies others to the cause, and we achieve proper balance. One would not want to choose between the tactical and strategic in this case, but if I had to choose, I'd vote for the latter. What a leader stands for is more important than what he or she does. The meanings a leader communicates to others are more important than his or her specific leadership style.

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## The 10-P Model of Quality Leadership

*Leadership skills*—the tactical side of the quality equation—are important. *Leadership antecedents, leadership meanings,* and *leadership as cultural expression*—the strategic side—are important too. From leadership skills, meanings, antecedents, and culture can be extracted ten principles of quality leadership (Figure 2).

There is always a risk in reducing the subtle and complex to a handful of abbreviated and specific principles. I accept this risk in order to provide busy professionals wit' a useful and easily remembered framework. The risk will be reduced if we agree that the ten principles are not meant to be recited as one would a litany, but are offered to bring to one's consciousness a cognitive map of the requirements for quality in leadership. A comprehensive development of the ten quality principles with applications to school supervision will be forthcoming in other publications. In this article only brief descriptions are provided.

*Prerequisites* refer to the leadership skills needed to develop and maintain basic leadership competence. Such skills as mastering and using various contingency leadership theories, conflict management tactics, team management principles, shared decision-making models, and group processes techniques are examples of basic leadership requirements. Leadership skills are tactical in the sense that they are situationally specific, of short duration, and focused on specific objectives or outcomes. Successful leadership is not likely to be within the reach of those who are not competent in the basic leadership skills. But competence and excellence are different. To move beyond routine competence one must shift attention from the tactical to the strategic. The remaining nine quality principles are strategic in nature. They give meaning and direction to the leadership skills.

The next four quality principles are leadership antecedents in the sense that they represent conditions, feelings, assumptions, cognitive maps, and attitudes of the leader that determine his or her reality and that guide his or her leadership decisions, actions, and behavior. As antecedents vary among leaders, so does leadership quality and meaning.

*Perspective* refers to the ability of the leader to be able to differentiate between the tactical and strategic and to understand how they are related. One with perspective brings a broader, patient, more long-range view to his or her leadership responsibilities which enables the sorting of trivial from important events and outcomes and the determining of worth.

What the leader stands for and believes in about schooling, the place of education in society, how schools should be organized and operated, and how people should be treated are the guiding *principles* that give integrity and meaning to leadership. Leaders stand for certain ideals and principles that become cornerstones of their very being.

In a recent *Wall Street Journal*-Gallup poll, for example, integrity was considered most important by chief executives of 282 of the nation's largest firms in describing characteristics of subordinates considered most important for advancement. The number one failing of weak managers, by contrast, was limited point of view. Integrity suggests that the leader values something important and is able to communicate this value to others.

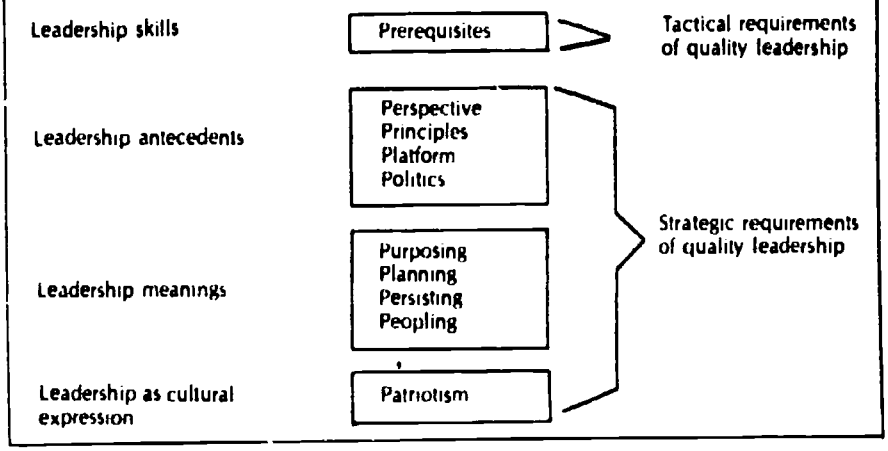
*Platform* refers to the articulation of one's principles into an operational framework. Platforms are governing in

**Figure 1. Strategic and Tactical Requirements of Leadership.**

| Strategic Requirements | Tactical Requirements |
|---|---|
| Ask, what is good in the long haul? A holistic view is important. | Ask, what should be done now to achieve objectives? An atomistic or task-specific view is important. |
| Develop an enduring philosophy of supervision, management, and organization to ensure consistency and to give proper purpose and meaning to events. | Develop a contingency perspective to supervision, management, and organization that permits altering arrangements to suit unique short-term circumstances. |
| Emphasize leadership quality that reflects and nurtures this philosophy. | Emphasize leadership styles that are carefully and skillfully matched to task requirements. |
| Develop an overall plan or image that provides a frame for implementing purposes. | Develop operating structures, procedures, and schedules for implementing purposes. |
| Decisions should be governed by purpose and philosophy. | Decisions should be governed by stated objectives. |
| The meaning of events to people is important. Be concerned with processes and substance. | The outputs to be achieved are important. Be concerned with structures and results. |
| Sensitivity to and involvement of people are key to success. | The development and articulation of sound techniques are key to success. |
| Quality control is a state of mind that comes from loyal and committed people who believe in what they are doing. | Quality control is a result of careful planning and organizing of the work to be done and of continuous evaluation. |
| Evaluation should be long-term to more adequately determine the quality of life in the school and to assess effectiveness more holistically. | Evaluation should be short-term to determine if specific objectives are being met and to enable the provision of systematic and continuous feedback. |

**A basic corollary: Strategic requirements should never be sacrificed in favor of tactical.**

**Figure 2. The 10-P Model of Quality Leadership.**



the sense that they represent criteria and an implicit standard from which decisions are made. A teaching platform governs the decisions a teacher makes about teaching and provides a set of ideals that make teaching decisions sensible to that person. Educational and management platforms, so essential to quality leadership, operate in much the same fashion.

*Politics* is the final leadership antecedent to be considered. At its simplest level, leadership can be defined as the ability of an individual to influence another individual or group in a fashion that helps to achieve certain desired goals. Power is an essential ingredient in the leadership act. Power, defined simply, is the ability to act to produce an effect. Power and leadership go hand in hand. Indeed in schools, political behavior is a key ingredient in successful leadership. Public schools, like other arenas of public administration, are political organizations characterized by multiple interest groups, unclear and competing goals, diffuse sources of power, and ambiguous lines of authority. Unlike the simple business or owner-operated store, the educational administrator or supervisor typically cannot exercise direct authority to obtain compliance or cooperation from others. Often, groups to be influenced are outside of the school itself, or are outside of the administrator's or supervisor's legal authority. Typically, the school administrator must obtain voluntary cooperation, support, and good will from others to get things done. Sensitivity to *politics* and knowledge that the leader is typically dependent upon the good wishes and voluntary compliance of others if he or she is to be effective in the long haul is a necessary leadership antecedent.

Key to quality in leadership and quality in schooling is that teachers and others find their work interesting, satisfying, and meaningful. Meaning suggests as well that they believe in what they are doing and appreciate its importance to the school, society, and to themselves. Leadership meanings can be summed in four additional quality principles: purposing, planning, persisting, and peopling.

*Purposing* breathes life and meaning into the day by day activities of people at work in schools. It helps people to interpret their contributions, their successes and failures, their efforts and energies in light of the school's purposes. Through this process, seemingly ordinary events become meaningful with subsequent motivational benefits to the school. In addition, purposing is the means by which leaders bring to the forefront of school activity the leadership antecedents of principle and platform. It represents as well the rallying point for bringing together all human resources into a common cause.[3]

*Planning* is the articulation of purpose into concrete and long-term operational programs. Planning sketches out the major structures and design to be implemented, the major steps to be taken, and the major milestones to be achieved. The time frame is long range and planning as a strategic requirement of leadership should not be confused with such tactical requirements as management by objectives, the specification of short-term outcomes or results, or various scheduling devices such as Gantt or PERT. Despite the usefulness of such tactics in the short-range, they can mislead if they are not part of a more long-range plan.

*Persisting* refers to the attention leaders give to important principles, issues, goals, and outcomes. Symbolically how an administrator uses time is a form of administrative attention that communicates meanings to others in the school. It is assumed by most that an administrator gives attention to the events and activities he or she values. As others learn the value of an activity to the leader, they are also likely to give it attention. Administrative attention, then, is a form of modeling for others who work in the school. Through administrative attention, the leader contributes to the tone and climate of the school and communicates to others the goals and activities that should enjoy high priority.

An elementary school principal might, for example, espouse an educational platform that suggests a deep commitment to building a strong educational program sensitive to individual needs of students, taught by a happy committed faculty, and supported by his or her school community. But this platform is likely to be ignored if most of the principal's time is spent on the trivial many activities associated with routine administrative maintenance. Observers will learn that "running a smooth ship" is the goal of real value to the principal and school.

*Peopling* recognizes that little can be accomplished by the leader without the good wishes of others. More than mere compliance from others is necessary if excellence is sought. Instead, the leader seeks to fine tune and match more closely the goals, objectives, and desires of people with those of the organization. Growth and development of the human organization enjoy equal status, as a tactical objective, with increased school outputs. Indeed, lower levels of school achievement might well be appropriate in the short-term, if human values would otherwise be endangered. When considered in the long-term, an undisputed link exists between the satisfaction and development of the human organization and increased organizational performance, both in quantity and quality. Peopling is a key strategic requirement of quality leadership. Accepting short-term gains that compromise the quality of life in schools which people enjoy simply does not make strategic sense.

When leadership skills, antecedents, and meanings are successfully put into practice we come to see leadership as less a behavioral style or management technique and more as cultural expression. Here, a set of norms, beliefs, and principles emerge to which organizational members give allegiance. These represent a strong bond that brings people together to work on behalf of the school. Indeed a culture emerges that details what is important and provides guidelines that govern behavior. The quality principle of *patriotism* is key to viewing leadership as cultural expression. In highly effective organizations workers share a set of common beliefs, and reach a set of common agreements that govern what will be done, and how it will be done. Members express loyalty or patriotism to this way of life.[4] Organizational patriots are committed to purposes, they work hard, believe in what they are doing, feel a sense of excitement for the organization and its work, and find their own contributions to the organization meaningful if not inspirational.

### Human Resources Theory

The ten principles together suggest a climate and commitment to work that goes well beyond mere competence and satisfactory performance. Excellence cannot be born from mere competence; it results from the more intangible human qualities summed by the ten principles. The principles are offered as a new and more integrated way to view the quality requirements of leadership, but they are as old as organized thinking on leadership and excellence. They are validated, for example, in the writings of the human resources theorists (Bennis,

Maslow, McGregor, Arygris, and Likert, for example) who have long expressed these views, though perhaps not as a systematic whole.

The recent research of Peter Vaill, which seeks to identify leadership characteristics associated with high performing systems, corroborates many of the quality leadership principles as well.[5] He defines high performing systems as those that perform excellently against a known external standard; perform excellently against what is assumed to be their potential level of performance; perform excellently relative to where they were at some earlier point in time; are judged qualitatively by informed observers to be doing substantially better than other comparable systems; do whatever they do with significantly fewer resources than is assumed are needed; are perceived as exemplars of the way to do whatever they do; and are perceived to fulfill at a high level the ideals of the culture within which they exist. From his research Vaill identifies three common characteristics of the leaders of all the high performing systems he studied:

1. Leaders of high performing systems put in extraordinary amounts of time. They work hard. They demonstrate that they care. Their consciousness is dominated by the issues and events in the system of which they are a part.

2. Leaders of high performing systems have very strong feelings about the attainment of the system's purposes. They care deeply about the system. This includes its structure and conduct, its history, and its future security. They care deeply about the people in the system. They want the system to be successful. They want the system to make a respected contribution to society. They want the system to contribute to the quality of life of people who are involved in it. Their feelings are evidenced in the way they talk about the system and in the way in which they behave in the system.

3. Leaders of high performing systems focus on key issues and variables. They understand the concept "management of attention" and recognize the importance of modeling organizational purposes and values. They focus on what is important and are able to rally others to this purpose.

Vaill believes that it is this Time-Feeling-Focus, when brought together in the lifestyle of the leader, that results in a qualitative difference between competence and excellence in leadership. He points out that leadership or management style, described in its instrumental sense (cold-warm, task-relationship, democratic-autocratic), is not the determining factor in a high performing system though style may be more important in low or average performing systems. He concludes from his research that leaders who strive for excellence should "Seek constantly to do what is right and what is needed in the system (Focus). Do it *all out* in terms of your energy (Time). Put your whole psyche into it (Feeling)."[6] These factors provide constant purposing to the system and in high performing systems, to iterate a basic axiom of this article, *what the leader stands for and communicates to others is more important than how he or she behaves given any particular set of circumstances.*

## The Japanese Experience

Increasingly, American management theorists look to Japanese management for insights that might be incorporated into our way of doing things. The Japanese management success is already a modern legend and Japanese economic productivity and quality standards are admired and envied throughout the world. What is their secret? Have they developed superior management tactics and techniques? Can their secrets be discovered and borrowed? When novices embark on this journey to study, learn, and emulate the secrets of successful Japanese management they soon find that such popular techniques as Quality Control Circles and the *ringi* system of decision making are important but not particularly key.

Managers use quality control circles for sharing responsibilities with workers for locating and solving problems that interfere with organizational creativity, productivity, and job satisfaction. More than 100,000 such circles are registered in Japan and perhaps more than 1,000,000 others exist.[7] Quality control circles typically consist of two to ten employees who meet regularly to examine work-related issues. They decide specific issues to study, launch action research projects aimed at solving problems or resolving issues, and make suggestions to management. Their suggestions are taken quite seriously with typically better performance results and, more important, better commitment from workers. In a sense, the quality control circle makes every employee a

manager[8] with resulting motivational effects that come from this increased vested interest in the enterprise.

The *ringi* system refers to an elaborate decision-making network requiring approval of new ideas from sources throughout the organization. It is characterized by the circulation of plans, proposals, or papers (*ringisho*) to various individuals at various levels in the organization and the affixing of stamps or seals indicating their approval of the plan. Following Kazuo Noda[9] the system is described as follows: Plans are typically drafted by individuals low in the organization and sponsored by middle-level management. (One subtle reason for this procedure beyond seeking input from lower levels is that newer

members of the organization are socialized into the organizational culture as modifications are suggested to their plans by those at other levels.) Plans are circulated and changed until they fit the organizational culture. In this way, new ideas are presented to those at other levels and superiors give feedback to those lower in the organization. Final plans are usually a compromise between traditional organizational expectations and new ideas proposed by those lower in the organization.

Before the *ringisho* is forwarded to upper levels it receives careful and lengthy horizontal consideration. Seals and stamps affixed to the *ringisho* symbolize consensus at this level. Finally the *ringisho* is sent forward for approval at upper levels. The *ringisho* moves slowly up the line with modifications occurring along the way. Finally the chief executive approves the *ringisho* by affixing a final seal. Advocates of the *ringi* system point out that though consensus builds slowly, once a decision is made support is strong and widespread. Americans, by contrast, typically make quick decisions but subsequently have difficulty implementing the decision because of support and commitment problems.

Quality control circles and the *ringi* system are good ideas worth emulating here, but the Japanese success story is not due to better tactical or technical skills as much as to a better view of what is important in management and a better appreciation of the human element. The Japanese believe in and are better at articulating all of the ten quality leadership principles, not just the prerequisites. This observation is firmly and convincingly documented in two new books on the topic: William Ouchi's *Theory Z: How American Business Can Meet the Japanese Challenge* and Richard T. Pascale and Anthony G. Athos's *The Art of Japanese Management*.[10]

Theory Z is primarily the articulation of the basic values of McGregor's Theory Y to the organizational level. Unlike Theory Y, which detailed a set of management assumptions that guide managerial action, Theory Z speaks to a culture, a way of life that exists at the organizational level. Its building blocks are trust and loyalty to the organization, a commitment to one's job, and a sense of dedication that stems from an organizational philosophy that gives direction to organizational actions and provides meanings to organizational members.

Similarly, Pascale and Athos derive a theory of management that emphasizes heavily the cultural aspect of leadership and organization. They propose a framework comprised of seven dimensions: three "hard" (strategy, structure, and system) and four "soft" (staff, style, skills, and subordinate goals). The hard dimensions, emphasized heavily in American management theory and practice, refer to the basic organizational, leadership, and management skills and techniques with which we are all familiar. They are the tactical requirements of leadership and constitute *prerequisite* leadership principles. By contrast, the soft dimensions are more cultural and humanistic and more like the remaining nine quality principles presented in this article. These authors note that the soft dimensions share *equal status* with the hard in Japanese management and in a number of successful American firms as well.

Both books derive their theories of excellence from studying successful Japanese *and* American firms. Though irreconcilable cultural differences exist between the Japanese and American ways, the American firms studied had more in common with their Japanese counterparts than with less successful American firms.

It is interesting that though much of the success of Japanese management is cultural, history tells us that modern concepts of management were introduced into Japan by Americans shortly after World War II. Indeed, Joseph Juran, an American management theorist, is often regarded as the father of Japanese quality control techniques.[11] Juran was a consultant to Japanese management in 1954. One of the pioneers in the Japanese quality control circle movement was W. E. Deming, whose involvement dates back to 1949. Today the "Deming" prize recognizes outstanding contributions of Japanese quality control circles.[12]

### Our Tacit Understanding of Excellence

The Japanese evidence is impressive but we do not have to look to successful Japanese management to corroborate or validate the 10-P Model of quality leadership. Enough evidence in its favor exists here in the United States and indeed the best proof of the ten principles rests in our own experiences and intuitions. Take a moment to recall in your life experiences that one group, team, unit, or organization of which you were a member that, when compared with all others from your personal experience, was the most high performing. You might recall a childhood or high school gang, or perhaps your experiences as a family member, or as a member of some social group or fraternity. Perhaps your attention will focus more on the world of work and you might recall a job you had, either recent or past, that included membership in a particularly high performing group. Whatever the case, recall how the system operated. How did you feel about membership in the group? What made you work so hard? What accounted for your enthusiasm? Why did you enjoy being associated with the group? What was the system trying to accomplish? How loyal were you and why? How meaningful was your membership and why? Chances are

pretty good that your analysis of this system highlights many of the quality leadership "Ps" proposed here.

Repeat this exercise, this time limiting yourselves to schools and work groups within schools with which you are familiar even though you may not have been a member. Recall the one most effective, most excellent, most high performing from among all your experiences with schools and school groups. Describe the system, what it valued, and how it worked. Take the time to sketch out some ideas on a sheet of paper. Again, compare your analysis with the quality leadership "Ps." You should find a remarkable resemblance between the two.

Debates over such issues as skills versus meanings or tactics versus strategy can be misleading. The issues of concern should be balance and integration. It is clear that presently, in educational administration and supervision, the leadership emphasis tilts too much in the direction of leadership skills and the prerequisite management techniques they suggest.

The function of such skills is not to stand alone or even to be "added in" but to be integrated into a larger focus. This integration is suggested in the following quality leadership equation:

$$QL = LS\ (LA + LM + LCE)$$

Notice that quality leadership (QL) results from the compounding effects of leadership skills (LS) *interacting with* leadership antecedents (LA), meanings (LM), and cultural expression (LCE). In sum, the 10-P Model of quality leadership is offered as an interdependent and interlocking network. Though conveniently sorted into four categories of skills, antecedents, meanings, and cultural expression, the art of leadership is celebrated in their integration in practice. ■

[1] See for example, Henry Mintzberg, *The Nature of Managerial Work* (New York: Harper and Row, 1973).

[2] James G. March, "How We Talk and How We Act: Administrative Theory and Administrative Life," Seventh David D. Henry Lecture, University of Illinois at Urbana-Champaign, September 25, 1980.

[3] Peter Vaill defines *purposing* as "that continuous stream of actions by an organization's formal leadership which has the effect of inducing clarity, consensus, and commitment regarding the organization's basic purpose." Peter B. Vaill, "The Purposing of High Performing Systems," paper presented at the conference on "Administrative Leadership: New Perspectives on Theory and Practice," University of Illinois, Urbana-Champaign, July 1981. p. 14.

[4] See for example the section "Toward a Theory of Organizational Patriotism" in *The New School Executive*, second edition. By Thomas J. Sergiovanni and Fred D. Carver. (New York: Harper and Row, 1980), pp. 237–241.

[5] Vaill, "The Purposing of High Performing Systems."

[6] Ibid, p. 37.

[7] William Ouchi, *Theory Z: How American Business Can Meet the Japanese Challenge* (Reading, Mass.: Addison-Wesley, 1981), p. 262.

[8] See for example, Scott Myers, *Every Employee a Manager* (New York: McGraw-Hill, 1971).

[9] Kazuo Noda, *Nihon no juyaku* (Big Business Executives in Japan) (Tokyo: Diamond Press, 1960), pp. 115–117 as described in William Brown, "Japanese Management: The Cultural Background," *Momenta Nipponica* 21 (1966): 47–60.

[10] William Ouchi, *Theory Z*, and Richard T. Pascale and Anthony G. Athos, *The Art of Japanese Management* (New York: Simon and Schuster, 1981).

[11] Norihiko Nakayama, "Using Japanese Quality Control and Productivity Techniques in U.S. Industry," seminar sponsored by the American Management Association and Technology Transfer Institute, New York City, December 19, 1980.

[12] Ouchi, *Theory Z*, p. 264.

## Topic B

# Tasks of Educational Supervision

MANY WOULD ARGUE THAT THE ACTIVITIES OF EDUCATIONAL SUPERVISION are situational—that supervisors perform the tasks that have to be done in the specific school districts or local schools in which they work. Others, when asked what supervisors do, would recite the well-known 1963 Ben Harris list of ten tasks. Still others would reject a list of ten or 20 tasks as being too broad. They would reject all tasks that are not related to working directly with teachers for the improvement of instruction.

Identification of the tasks performed by all supervisors is, however, beneficial in clarifying the role of any one supervisor and in resolving role conflicts. Knowing what supervisors do and with whom they do it provides data useful in analyzing the supervisory role to determine the competencies needed to perform the tasks effectively. Finally, determining what supervisors "actually" do makes possible a kind of reality testing of tasks reported in the literature.

In the articles in this section, authors draw on their knowledge of supervision, their research, and their observations of current economic/political realities and societal demands: (1) to reaffirm a controversial task, (2) to isolate critical instructional tasks, (3) to cite inconsistencies between job descriptions based on supervision literature and on-the-job responsibilities, and (4) to urge the development of survival skills. Practitioners and students of supervision will find the articles, when considered individually and collectively, helpful in their search for a definitive answer to the question: What should be the tasks of supervision?

Harris presses for supervisors the necessity for "uniquely defined roles, backed by specific competence to perform, a structure for collaborative efforts, and, finally, an evaluative thrust that yields priorities." His stance in favor of supervisory responsibility for teacher evaluation is one not shared by some of the other scholars and practitioners in the field. Whether or not supervisors should evaluate teachers is one of the "live" issues in supervision.

In reporting on their study of central office supervisors, Burch and Danley identify a set of ten "roles that encompass all the activities in which supervisors and consultants reported involvement." The authors found that supervisors spent 59 percent of their time in five roles that have direct bearing on the improvement of instruction. Burch and Danley suggest a revised job description, a renewed focus on instructional concerns, and reassignment of some activities in an effort to change the currently perceived tendency to view the central office supervisor as a jack-of-all-trades.

Sullivan reports a functional analysis of the work of system-level supervisors. The system-level supervisors studied spent 98 percent of their time in managing internally the organization's ongoing work. She found the supervisor to be a "center of communication, serving interpersonal, informational, and decisional functions within the school system." Sullivan's findings have implications for role clarification and for preparation programs for supervisors.

Worner discusses four factors that have contributed to the attitude that supervisors should be among the first personnel to be cut in a time of budget crunch. These four factors include role conflicts with principals, changing relationships

with teachers, the "soft" funding base for many supervisors, and lack of necessary competence and skills by some supervisors. These are reasons for the loss of political support for supervisors. He sees six categories of "abilities that are essential for supervisors in the rapidly changing climate of public education." He, too, calls for "reconceptualizing the role and redefining the tasks and skills required for accomplishing it."

Burch and Danley and Sullivan point to discrepancies between job descriptions of what supervisors should do and what they actually do. Both articles call for rethinking the role of the central office supervisor. Worner, for different reasons, joins Burch and Danley and Sullivan in calling for a reconceptualization of the supervisor's role. Harris lists competencies "required for this unique and demanding form of educational leadership" [supervision] while Worner targets survival skills.

As readers study the articles and make their own interpretations, the following questions are offered to guide their thinking. How can supervisors engage in teacher evaluation and maintain a helping relationship with teachers? What steps can central office supervisors take to redefine their roles so that almost the total focus is on instructional concerns; or should they make that effort? What are the implications of Worner's article for the selection and education of supervisors?

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# SUPERVISOR COMPETENCE AND STRATEGIES FOR IMPROVING INSTRUCTION

**BEN M. HARRIS***

*Supervisors of instruction, whatever their titles, must lead more aggressively in the improvement of instruction. They must "demonstrate competencies more adequately, enter into collaborative arrangements that are genuinely cooperative, and become involved in building instructional evaluation systems to guide the improvement process."*

LEADERSHIP in education comes from many sources—teachers, parents, administrators, politicians, supervisors, professional associations, and business people to name but a few. But the crucial questions about the sources and forms of leadership for this last quarter of the 20th century may well be more clearly defined, more highly focused than in the past quarter. The questions about leadership concern instruction, the improvement of instruction, and instructional change that is of high quality.

All across the country, I sense a growing conviction that supervisors of instruction are essential in leading the nation's schools toward better education. Behind us are frantic years of jumping from one innovative panacea to another in search of instant progress. The disillusionment with many of the past efforts at improvement of instruction is much less a criticism of supervisory practices than it is a sign of our times. But even so, there is a need for leadership that has greater vision and more competence than in the past. The need is not for a new role description so much as it is a need for new plays and stage settings alike.

In brief historical perspective, the past 25 years can be helpful as we think about the quarter century ahead. Three eras might be capsuled as follows:

1. 1950-1960—Emphasis on human relations skills (13), avoidance of conflict, lack of directionality (9), and uncritical response to teachers' expressions of need

2. 1955-1965—Population explosion, crash programs of teacher preparation, permanent employment of men and women to teach with little selection or evaluation, rapidly expanding schools and districts to outrageous sizes, and emphasis upon growth with little attention to quality

3. 1960-1975—Growing demands for change in instructional practices, frenzied demands for newer and better programs, appeals for meeting special pupil needs, in-

**Ben M. Harris, Professor of Educational Administration, University of Texas, Austin*

sistence upon opportunity for all children with little tolerance for failure.

These three sets of events were more or less sequential in nature; and each one tended to promote, stimulate, and reinforce the next one. Having made strong commitments to humane, nondirective, service-oriented supervision, the tidal wave of events caused by the population explosion left many of us as supervisors floundering, struggling for survival, inundated by teacher incompetence, overextended, overworked, and inappropriately tooled.

The third wave of events has come and gone and a whole host of supervisors are standing in the ebb tide of the 1960's wondering where to go and how to proceed. The fast moving events of the past 25 years have allowed too little time for careful thought leading to new insights. Morris Cogan (4) is urging us to forget all strategies except that of clinical supervision. Blumberg (2) joins with Sergiovanni (11) in urging a kind of "advisory" supervision. John Lovell (14) has revised Wiles' classic book with emphasis upon "collaborative" supervision. Fenwick English (5) sides with Borg (3), Flanders (6), and Wilhelms (15) in seeking a self-supervision strategy in response to teacher frustration and growing militancy. The NEA offers the new salvation in the form of "teacher power" and proposes to "take over" in-service education as a safe first step in making teachers the supreme influence in all educational matters.

## Three Steps Ahead

To assume more vigorous leadership and to guide more steadfastly than in the past, how do supervisors of instruction proceed? Instruction is essentially a human enterprise, and, of course, improvements come about primarily through people whether we focus on curriculum or materials development, staffing or in-service education, or public relations. But supervisory practices must extend well beyond good human relations. There is the need for uniquely defined roles, backed by specific competence to perform, a structure for collaborativ· efforts, and finally, an evaluative thrust that yields priorities.

***"The long supported notion that teachers make the critical difference in the lives of children and youth in schools remains unshaken by many years of research on teaching and learning."***

## Competencies for Instructional Improvement

Instructional improvement has long been recognized as the unique role for supervisors of instruction. Competencies required for this unique and demanding form of educational leadership are numerous, but an essential array has been clearly identified and carefully defined. Figure 1 outlines 24 professional supervisory competencies which have been fairly well substantiated.

Supervisors have continued to argue over the semantics of their titles more than they have about the issues of instructional innovations. They have sometimes been more eager to be accepted than to be effective agents of change. They have been content to focus upon improvements in a particular subject or skill rather than strive for fundamental changes in schooling. Even so, we have shared with administrators, teachers, parents, and policymakers an unprecedented quarter of a century of striving for instructional change. We have gained a bit and learned a lot about how to bring about lasting, constructive change (8). The mastery of an array of professional supervisory competencies is a first essential step in assuming leadership for improving education.

## Building Collaborative Relationships

Supervisors of instruction sometimes abdicate leadership when frustrations persist. Then, too, we may be too subservient to teacher or administrator whim or even opt for authoritarian alternatives. A fourth alter-

native open to those with competence to offer is a genuinely cooperative, collaborative approach. This is not simple service-orientation! It calls for relationships with principals and teachers that are based on mutual respect, understanding of differentiated responsibilities, clearly defined goals, and realistic expectations.

In building a genuinely cooperative relationship the archaic notions of the lone supervisor, without status, disguised as just another teacher will not suffice. This is an organized society in which lone individuals are doomed to be ineffectual. Supervisors must work in teams and task forces in which collaborative, task-oriented efforts are carefully designed to make full use of the diversity of competencies required to promote fundamental changes in instruction. Such teams or task forces provide a sharper focus for collaborative endeavors, but also concentrate human energies to generate the thrust for significant change. Team supervision also makes more realistic demands upon supervisors to demonstrate unique competence.

## Honest, Constructive Evaluation

There are many issues and problems associated with instructional evaluation. Not the least of these are to be found in the area of teacher evaluation. The growing concerns for accountability in education are inevitably pressuring school boards, administrators, and supervisors toward teacher evaluation of substance. Supervisors are being involved increasingly, despite their protestations.

The long supported notion that teachers make the critical difference in the lives of children and youth in schools remains unshaken by many years of research on teaching and learning. It follows, then, that an essential focus for improving instruction must be on teachers, teaching, and the teaching-learning process. Curricula, materials, physical arrangements, and subject content are all important but much less so. If the central focus is the teacher, how can we ignore teacher evaluation as a responsibility of supervisors of instruction?

> ***"Supervisors cannot afford to remain aloof from sound teacher evaluation because it offers opportunities to make differences that count in the lives of both teacher and child."***

The traditional stance of supervisors has been one of accepting no responsibility for teacher evaluation. This has been a defensive stance. Most teacher evaluation practices are rightly viewed as inconsequential, ineffective, and destructive of teacher trust. But this defensive stance is no longer justifiable. The costs are too great. The pressures

A *Developing Curriculum* *
A-1 Setting instructional goals
A-2 Designing instructional units
A-3 Developing and adapting curricula

B *Developing Learning Resources*
B-1 Evaluating and selecting learning materials
B-2 Producing learning materials
B-3 Evaluating the utilization of learning resources

C *Staffing for Instruction*
C-1 Developing a staffing plan
C-2 Recruiting and selecting personnel
C-3 Assigning personnel

D *Organizing for Instruction*
D-1 Revising existing structures
D-2 Assimilating programs
D-3 Monitoring new arrangements

E *Utilizing Supporting Services*
E-1 Analyzing and securing services
E-2 Orienting and utilizing specialized personnel
E-3 Scheduling services
E-4 Evaluating the utilization of services

F *Providing In-Service Education*
F-1 Supervising in a clinical mode
F-2 Planning for individual growth
F-3 Designing in-service training sessions
F-4 Conducting in-service training sessions
F-5 Training for leadership roles

G. *Relating to Public*
G-1 Informing the public
G-2 Involving the public
G-3 Utilizing public opinion

* Source: Special Education Supervisor Training Project *Professional Supervisory Competencies Document #1.* Austin University of Texas, 1975.

Figure 1. Twenty-four Critical Professional Supervisory Competency Titles*

for better accountability where it really counts are too urgent. Furthermore, supervisors have too much to offer and to gain in helping solve this crucial problem. In fact, supervisory effectiveness has been seriously hampered by the absence of genuinely objective, constructive evaluation systems in our schools.

I think it important to emphasize that I am not advocating that supervisors either take over or eagerly involve themselves in the useless teacher evaluation efforts so widely practiced at present. So long as superintendents, principals, and school boards persist in using rating sheets, superficial observations, and mutually congratulatory follow-up conferences, supervisors are better off being out of the ritual act.

Alternatives to present practices, however, are available. Cooperative supervision can extend to cooperative evaluation in which teachers are deeply involved with peers, principals, and supervisors in observing and analyzing their own behavior. Constructive teacher outcomes from such practices include leads for improving one's own teaching, a new respect for one's own capabilities as a teacher, a new tolerance for critical appraisal, and a higher set of performance standards toward which to strive.

An evaluation system that is objective, systematic, collaborative, and on-going, with emphasis on the improvement process, cannot function without the specialized skills and perspectives of supervisors. Supervisors cannot afford to remain aloof from sound teacher evaluation because it offers opportunities to make differences that count in the lives of *both* teacher and child. Furthermore, in such evaluation, supervisors gain new perspectives and broader understandings about the instructional programs they try to improve.

The time seems unusually right for supervisors of instruction, whatever their titles might be, to assert themselves as leaders in the instructional improvement process. The past years of supervisory efforts since World War II have provided both perspective and maturity upon which professional supervisory practice for the next quarter century can well be based. Initial steps in more aggressively leading the improvement of instruction process call for supervisors to demonstrate competencies more adequately, enter into collaborative arrangements that are genuinely cooperative, and become involved in building instructional evaluation systems to guide the improvement process.

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# The Instructional Leadership Role of Central Office Supervisors

Barbara G. Burch and W. Elzie Danley, Sr.


*Supervisors want to spend more time on instructional improvement but for many reasons don't. It should be made clear that instructional improvement is their primary function.*

In order to hold supervisors and consultants accountable for their most important responsibility —improvement of the instructional program and teacher effectiveness —a redefinition of their job expectations is needed. A study we conducted in Tennessee found that central office supervisors spend only 59 percent of their time in roles that have direct bearing on the improvement of instruction. Our study identified ten roles that encompass all the activities in which supervisors and consultants reported involvement. The five roles directly related to working with teachers and the instructional program were:

• *Information and Dissemination*—activities such as keeping up-to-date through reading, visiting and attending professional meetings; sharing relevant and available information about new ideas and practices; and being available to people who need information

• *Resource Allocation*—making materials and human resources available to those who need them, and facilitating acquisition and distribution of resources

• *Training and Development* —assisting others in acquiring desired competencies; developing instructional guides and materials; conducting and planning inservice; and materials and textbook evaluation

• *Observation and Evaluation*—visiting and observing in schools; clarifying system expectations for others; evaluating for instructional improvement; and reporting on staff performance as required by the system (supervisors spent most time in this role)

• *Motivation* — encouraging consideration of new ideas; working with individuals and groups to effect needed changes; being an idea stimulator with others; providing positive reinforcement for efforts and accomplishments; and participating in system activities that influence goals.

Photo: NEA, Joe DiDio

*Too much time on paperwork*

Our study also indicated that supervisors were spending considerable time in five roles identified as important to the functioning of schools, but which have limited relationship to improvement of instruction or helping teachers. These were:

• *Host Ceremonial*—serving as host, presiding, performing ceremonial duties, speaking at routine functions, and representing the system at community or other events

• *Formal Communications*—providing official and policy information to individuals and groups, officially representing the views of the system, and ensuring proper information flow

• *External Contacts*—developing links with people in significant positions, both within and outside the system

• *Crisis Management*—coping with day-to-day problems, resolving personnel conflicts, negoti-

ating with others to gain maximum commitment to established priorities, and being involved in situations of conflict or controversy

• *Maintenance* — completing routine reports and paperwork, handling office details and routine correspondence, and follow-up on requests and questions (supervisors spent more time in this role than the other four roles).

Given the opportunity to express how they desired to spend their time, supervisors indicated they would like to spend about 20 percent more time in the five roles most directly related to improving instruction and working with teachers. Some supervisors said there were factors that prevented them from doing this, but supervisors who felt no such restraints were spending no more time in the instructionally-related roles than the others.

The reasons for this state of affairs remain unclear; supervisors tend to blame factors other than themselves. Of the eight restraints indicated, only one—poor time management—is a limitation of the supervisors themselves. The other seven restraints (too much paperwork, insufficient personnel, externally-imposed regulations, inadequately prepared and uncooperative staff, unclear job expectations, limited resources, and unexpected demands) are all external factors.

Supervisors may be suffering from an ailment that many of us experience: placing the blame elsewhere when we find ourselves not doing what we think we should. Perhaps the time has come for them to accept responsibility and give more than lip service to what their jobs should be.

To be sure, working with teachers to improve instruction is a very difficult task and a heavy responsibility. It is easier to be visibly productive and accountable in the number of reports filed, schools visited, textbooks cataloged and delivered, and meetings attended than it is to be accountable for improving instruction. However, supervisors must find ways to spend more time in roles that improve the quality of teaching.

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### Specific Suggestions

Central office supervisors feel a responsibility for improving the instructional program, but they are rarely held accountable for student success or failure. If anyone is held accountable, it is likely to be the school principal. On the basis of our study we suggest that superintendents and school boards make it clear that they expect supervisors to be responsible for instructional leadership and that they incorporate their expectations into the accountability system of the school district.

A revised job description is critical. The new definition should emphasize the need for supervisors to focus on instructional concerns and thus relieve the prevailing tendency for them to be "jacks-of-all-trades." Some of the activities supervisors are now engaged in—clerical functions, for example—will need to be assumed by others.

State departments of education can help by insisting that positions they fund for instructional improvement be used for that purpose. Because many school districts have not provided adequately for administrative and support positions needed to handle daily operation of the system, they give the title of "supervisor of instruction" to individuals who in reality are administrative aides. This will continue as long as state agencies fund such positions without inquiring about the actual duties of those who fill them.

Graduate preparation programs designed to prepare instructional supervisors should also be modified. Too often such programs focus primarily on the management role of school leaders and not enough on their instructional improvement responsibilities. Central office supervisors cannot provide instructional leadership if they have not been trained for it.

### Summary

Our study indicates that supervisors and consultants are spending only a little over half their time in tasks directly related to the improvement of instruction. If this is to be remedied, individuals and organizations must clarify the role of the instructional supervisor and find ways for supervisors to be accountable for the improvement of instruction. This is a complex undertaking which should involve local educators, local boards of education, state departments of education, education departments in higher education institutions, and the supervisors themselves. Only a concerted effort among them all will enable supervisors to make a greater contribution in their instructional leadership roles.

**Educational Leadership** 39 (Mar. 1982): 448–451


# Supervisory Expectations and Work Realities: The Great Gulf

Beginning supervisors are in for a surprise if they believe the descriptions of their work in the literature.

CHERYL GRANADE SULLIVAN

**Help Wanted**
Individual needed to handle day-to-day maintenance of school system. Must function as communication center for information and decisions. Job involves much verbal contact with others. Individual must function in highly fragmented work day.

This fictitious advertisement describes well the work actually done by instructional supervisors although it varies greatly from the way their work is portrayed in the literature.

The literature paints a picture of what a supervisor *should* do. Suggested tasks include planning and organizing components of the instructional program; instructing, analyzing, and conferring with teachers about their performance; and perhaps evaluating.

In order to find out how similar descriptions of supervision are to the work done by supervisors, I observed and collected "through structured observation" samples of the work of system-level supervisors in a metropolitan area and analyzed 14,753 minutes of supervisory behavior.

### Functional Analysis

A functional analysis of the data showed that supervisors primarily maintain the day-to-day operations of the school system—essentially functioning as managers. The supervisory work was therefore compared with managerial work using Mintzberg's (1973, 1975) 10-category framework. See Figure 1.

Ninety-eight percent of the supervisors' activities fell into the categories defined by Mintzberg. Thus, it appears

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**Figure 1. Summary of Mintzberg's Ten Functional Categories of Managerial Work.**

| Function | Description |
|---|---|
| ● Interpersonal | |
| Figurehead | Symbolic head; obliged to perform a number of routine duties of a legal or social nature |
| Leader | Responsible for the motivation and activation of subordinates, responsible for staffing, training, and associated duties |
| Liaison | Maintains self-developed network of outside contacts and informers who provide favors and information |
| ● Informational | |
| Monitor | Seeks and receives wide variety of special information (much of it current) to develop an understanding of organization and environment; emerges as nerve center of information of the organization |
| Disseminator | Transmits information received from outside or from other subordinates to members of the organization; some information factual, some involving interpretation and integration of diverse value positions of organizational influencers |
| Spokesperson | Transmits information to outsiders on organization's or unit's plans, policies, actions, results, etc. |
| ● Decisional | |
| Entrepreneur | Searches organization and its environment for opportunities and initiates "improvement projects" to bring about change; supervises design of certain projects as well |
| Disturbance Handler | Responsible for corrective action when organization faces important, unexpected disturbances |
| Resource Allocator | Responsible for the allocation of organizational resources of all kinds in effect participating in significant organizational decisions |
| Negotiator | Responsible for representing the unit or organization at negotiations |

Adapted from Mintzberg (1973, pp. 92–93).

that these categories are an appropriate organizational scheme from which to discuss the supervisor's function in the school system.

Analysis showed high concentrations of activity in three categories: resource allocator (30 percent), monitor (19 percent), and disseminator (16 percent). These activities indicate the supervisor operates as an *insider*, one who is primarily concerned with internal operations.

There was little activity in areas requiring external contact as an official representative of the school system and little activity related to launching new ideas or involving nonroutine duties.

There was also significant activity as figurehead (10 percent), liaison (9 percent), and leader (8 percent)—all functions that involve interaction with others.

In order to show the relationships among the ten categories, Mintzberg grouped them into three clusters: *interpersonal* (functions involving other persons), *informational* (functions involving acquisition and dispersion of information), and *decisional* (functions related to the processes of decision making).

Though there were high concentrations of activity in three of the ten categories, there was a more equal distribution of activity among clusters. Interpersonal accounted for 27 percent of the activity; informational, 38 percent; and decisional, 33 percent.

Indeed, 98 percent of the supervisor's work was accounted for in terms of management (some might describe it as administration!). The concentrations of activity revealed that supervisors manage internally the organization's ongoing work.

### A Content-Chronological Analysis

The supervisory work was also analyzed to determine how time was used (Figure 2). The major portion (61 percent) of the supervisor's time was spent in verbal communication in meetings and during informal exchanges. Data showed that the supervisor acts as an information broker and is literally a hub of communication.

Through controlling and filtering information, the supervisor maintains the day-to-day operations of the school system. The supervisor also gains power through controlling information: supervisors have little formally delegated authority in the line sense, but by controlling the communication and information flow they have power in a real sense.

Two-thirds of the time spent in verbal communication involved informal, brief face-to-face contacts with one or two individuals. Most interactions involved persons within the school system, were spent on internal matters, and lasted five minutes or less. Communication was directed to people in lateral positions; a small amount was with superordinates (9 percent), and only 14 percent of the communication was with teachers.

**Figure 2. Allocation of Time to Various Forms of Activity Aggregated Over All Subjects.**

| Activity | Percentage |
|---|---|
| Verbal contacts | |
| Informal | 40 |
| Formal | 21 |
| Desk work | 18 |
| Travel | 7 |
| Inhouse travel | 3 |
| Technical work | 7 |
| Miscellaneous | 4 |

Supervisors initiated 62 percent of all contacts and channeled information in a way that put them in a central position. Their communication activity served four major purposes: processing information, handling resources, maintaining status, and resolving conflicts.

The direction, control, and quantity of time spent in communication indicate that the supervisor, as information broker, is a "nerve center" as described by Mintzberg (1979).

In comparison to communication, supervisors spent relatively little time on other activities. They spent 7 percent of their time on technical work (including classroom observation and inservice education) and 10 percent on travel.

In addition, work flow and time flow in general were highly fragmented. Su-

pervisors worked on a task for awhile, then turned to other tasks repeatedly throughout the work period, with few instances of completing a task during one work session.

### Analysis Based on Harris

As a final way of looking at what the supervisor does, the supervisor as manager was compared to the ten task areas of supervision presented by Harris (1975) and widely accepted as a model of supervisory work (Figure 3).

Supervisors do accomplish much of what Harris prescribed in the areas of organizing for instruction; providing staff, facilities, and materials; and relating special pupil services. They also participate in curriculum development. In accomplishing these tasks, the supervisor works as a resource allocator and disturbance handler who uses his/her organizational place as a nerve center for information. In contrast to the image portrayed in the literature, however, the supervisor is not involved in long-range considerations and direct, unilateral decision making.

Although the supervisor functions in the area of public relations, as Harris recommends, his or her audience is usually not parents or community groups as described by Harris but is internal to the system.

Two areas, inservice education and evaluating instruction, are supposed to be primary supervisory activities. However, supervisors spend so little time in these areas that they are peripheral rather than central activities.

Supervisory work is directly related to one prescribed area—orienting new staff members. The supervisor does, as Harris suggests, keep staff members informed of organizational developments.

Thus, the literature on instructional supervision provides a model of how the supervisor *should* function to improve instruction. However, in practice the supervisor appears to serve a much different purpose. There is a gulf.

### Summary and Implications

From the observation and analysis of supervisory work, the following generalizations describe the function and work flow of supervision:

1. The supervisor's major purpose is maintenance of the day-to-day operations of the school system
2. The supervisor is a center of communication, serving interpersonal, informational, and decisional functions within the school system
3. Communication is highly personal; direct verbal contact with those in similar status positions within the school system takes up the major portion of work time
4. Both the supervisor's time and activities are highly fragmented.

Job descriptions for supervisory positions have traditionally echoed supervision literature. The inconsistency between the job descriptions and the work needs to be recognized and eliminated. Either job descriptions should reflect the nature of supervisory work as it is done or the work should be altered to match ways in which it could improve instruction.

Training, like job descriptions, has been based on the literature of supervision. In order to prepare individuals for the actual function and work flow of supervision, a new approach emphasizing information brokerage and resource allocation would need to be taken if this is what we wish supervisors to do. But, is this the job educators *want* to have done?

The gap between the training and the work done by supervisors points to a broader problem. In our push to consolidate school systems and centralize administrative organization, we have cre-

**Figure 3. Harris' Tasks of Supervision.**

| Task | Description |
|---|---|
| Developing Curriculum | Designing or redesigning that which is to be taught, by whom, when, where, and in what pattern. Developing curriculum guides, establishing standards, planning instructional units, and instituting new courses are examples of this task area |
| Organizing for Instruction | Making arrangements whereby pupils, staff, space, and materials are related to time and instructional objectives in coordinate and efficient ways. Grouping of students, planning class schedules, assigning spaces, allocating time for instruction, scheduling, planning events, and arranging for teaching teams are examples of the endeavors associated with this task area |
| Providing Staff | Assuring the availability of instructional staff members in adequate numbers and with appropriate competencies for facilitating instruction. Recruiting, screening, selecting, assigning, and transferring staff are endeavors included in this task area |
| Providing Facilities | Designing or redesigning and equipping facilities for instruction. The development of space and equipment specifications is included in this task area |
| Providing Materials | Selecting and obtaining appropriate materials for use in implementing curricular designs. Previewing, evaluating, designing, and otherwise finding ways to provide appropriate materials are included in this task area |
| Arranging for Inservice Education | Planning and implementing learning experiences that will improve the performance of the staff in instruction-related ways. This involves workshops, consultations, field trips, and training sessions, as well as formal education |
| Orienting Staff Members | Providing staff members with basic information necessary to carry out assigned responsibilities. This includes getting new staff members acquainted with facilities, staff, and community, but it also involves keeping the staff informed of organization developments |
| Relating Special Pupil Services | Arranging for careful coordination of services to children to ensure optimum support for the teaching process. This involves developing policies, assigning priorities, and defining relationships among service personnel to maximize relationships between services offered and instructional goals of the school |
| Developing Public Relations | Providing for a free flow of information on matters of instruction to and from the public while securing optimum levels of involvement in the promotion of better instruction |
| Evaluating Instruction | Planning, instrumenting, organizing, and implementing procedures for data gathering, analysis, and interpretation, and decision making for improvement of instruction |

(Harris, 1975, pp. 11-12)

ated a massive bureaucratic infrastructure that perpetuates itself. A middle-management cadre literally keeps the system going with information. The objectives of instruction take a back seat to the goals of keeping the system operating *as it exists*.

If we wish supervisors to serve the goals of system maintenance first and instruction second, then we should change titles, job descriptions, and training processes to conform to reality. However, if we want them to perform instructional work, then the system rather than the training for the individual must be changed. ■

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# Survival Kit for Supervisors

## In the battle to keep their jobs, supervisors should be developing essential skills to make themselves indispensable.

WAYNE WORNER

Nearly every study conducted in recent years indicates that education, compared with business and industry, is undersupervised,[1] yet claims persist that school systems are "top heavy" with administration.

A recent ASCD publication confirms the fact that instructional supervisors are among the first personnel to be cut in a budget crunch.[2] Large and small districts alike seem to have suffered the same reduction (as high as 60 percent) in supervisory and curriculum support personnel. While all administrative positions have come upon hard times, those without constituencies—general supervisors, curriculum coordinators, and specialists—seem to be the most vulnerable.

### The Rise and Simultaneous Fall

The decline of the supervisor, best understood in a political context, can be attributed to four major factors.

As the supervisor's position grew in importance and power over the past three decades, those who believed they had lost influence as a result (primarily building level administrators), harbored feelings ranging from ambivalence to resentment. Most often these sentiments were not apparent on the surface, but as the supervisor's position became tenuous, principals were far from unanimous in their support of the need for such services. While some principals viewed the addition of supervisors as a resource to be valued and nurtured, others saw their appearance as a challenge to the principal's authority; an erosion of power brought about by a lessening of the teachers' dependence on the building administrator. In other cases, principals expressed concerns about leadership ambiguity, the result, some claimed, of shifting allegiances and loyalty.

As supervisors assumed greater responsibility for curriculum and began to participate in screening and selecting personnel, the gap widened. With increasing availability of funds for curriculum planning and inservice

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activities in the 60s came expanded budget authority and control. Building principals expressed concern about who was really in charge of instruction in the schools. They also perceived that supervisors helped create a demand for additional reporting and paperwork for principals.

The second major factor contributing to the loss of political support for supervisors has been the changing relationship between supervisors and teachers. As supervisors' involvement in evaluation activities grew, the extent to which they could provide support and services to teachers diminished. This change in function was accompanied by dramatic changes in the nature of teachers and their perceptions of all supervisory personnel. With supervisors taking on new coloration in the eyes of teachers, their once-strong support from this group disappeared.

The loss of political support within the system has been compounded by the "soft" funding base for many supervisory positions. Many school systems have used external funding to employ administrative support personnel for project administration and have assigned these same personnel to general administrative or supervisory tasks as well. In many cases the school system provided partial financial support for the positions to justify using the personnel for districtwide assignments. Often, however, the ratio of funding was not consistent with time assigned. It was not uncommon, for example, to fund a position 25 percent local-75 percent project, and then reverse the distribution of time assigned. As external funding declined, many schools had to scramble to cover supervisory and support services carried out by personnel paid for with disappearing external funds.

A final reason for declining support of supervisory positions relates to the competence of personnel occupying the positions. As supervisory positions opened up, many supervisors were selected from the ranks of teachers. Most often, those chosen were "master teachers" taking on the responsibility for helping others in their specific academic field or level. As the roles began to change, supervisors found themselves engaged in activities that exceeded their competence and interest. Personnel who had been selected for positions based on their knowledge of subject matter and excellence in teaching found themselves planning workshops, monitoring budgets, evaluating personnel, writing proposals, and reading printouts. Some adapted to the new expectations; others opted out; still others tried with only limited success to do what was expected of them, whether they enjoyed it or not. The uneven quality of performance by those assigned to positions far different from the positions they had accepted, carrying out functions they were ill-equipped to handle, has not generated support from those who depend on their service.

Regardless of the reasons, cutting back in local school systems is taking a heavy toll on supervisory and instructional support personnel. This is occurring at a time when public demands for equity, quality, and accountability are at an all-time high. It may not be rational to reduce the number of people who can provide the services and functions required to respond to those concerns, but it is happening and will probably continue.

"In light of their precarious political position, supervisors need to hone their basic survival skills."

### Survival Skills

In light of their precarious political position, supervisors need to hone their basic survival skills. There are, in particular, six categories of abilities that are essential for supervisors in the rapidly changing climate of public education:

- *Technological skills*—the ability to use systematic planning techniques, decision-making models, basic flow charting, and computer technology.
- Policymaking skills—the ability to influence policymaking processes, especially those at state and local levels; to interpret and implement governmental and court mandates for education.
- *Personnel management skills*—the ability to evaluate and train staff for program change; to understand and manipulate in positive ways the dynamics of group processes and organizational change; to recognize sociological and psychological dysfunction in individuals and groups.
- *Research skills*—the ability to conduct and interpret research and translate it into programs and practices; to collect, analyze, and use information from a vast array of sources for improving program quality; to encourage revision and updating of course content to keep up with the information influx.
- *Resource skills*—the ability to maximize the use of diminished resources; to bring innovation and creativity to programs and services when lack of funds threatens to endanger the benefits of educational programs.
- *Personal management skills*—the ability to manage one's own professional growth, not just to survive, but even, perhaps, to thrive.

### An Increasingly Complex Task

While the listing above represents some of the skills supervisors in the 80s will be asked to demonstrate, it is far from complete. Structures, functions, assignments, and responsibilities of those assigned to administer and supervise school programs vary from one district to another.

What is clear is that those responsible for the oversight of curriculum and programs in public schools will face an increasingly complex task made more so by reduced political and financial support. Supervisors will be called on to do more with less. Only by reconceptualizing the role, and redefining the tasks and the skills required for accomplishing it, will supervisors be able to meet the challenges of the 80s. ■

[1] John Marlowe, "Use These Facts and Figures to Topple the Myth of Top-Heavy School Management," *The Executive Educator* 2 (December 1980): 20-22.

[2] "Supervisors 'Expendable' When Budgets Are Cut," *ASCD Update* 23 (March 1981): 2, 8.

## Topic C

# Trends in Organization for Supervisory Services

SUPERVISION IS A SCHOOL FUNCTION THAT MAY BE PERFORMED by various persons at different levels in the school system. Central office personnel; the principal and the lead teacher, the grade level chairperson, the department chairperson, or a leadership team in the local school; and persons external to the local school system such as consultants for regional educational service agencies who work cooperatively with the district to provide support services—all of these may function as supervisors. How districts organize for supervision, as well as how they allocate their supervisory resources, affects supervisory effectiveness. Reductions in the funds available for supervisory positions at the central office level and the recent recognition of the importance of providing supervisory support directly to teachers at the building level have caused districts to reevaluate central office supervision and to look for additional options. The lead teacher who can be assigned full time responsibility for providing supervision of instruction in the individual school is one example of an attempt to make supervisory support readily available to the teacher.

Freeman, Palmer, and Ferren provide another example of efforts to continue and improve supervisory services as they relate how one region of the District of Columbia public schools rallied to provide supervisory support for teachers when the district, faced with budget cuts, was forced to reduce supervisory personnel. The article describes a supervisory training program for administrators and how the program was expanded to include secondary school departmental chairpersons and key elementary school teachers; the program was based largely on the clinical supervision model. After the school leaders completed the program, large numbers of teachers were given the same training. Freeman, Palmer, and Ferren report that the resulting program of peer supervision using the clinical supervision model is being implemented as a result of the training.

Despite the fact that principals have been charged with responsibility for instructional leadership in their schools, research shows (and practice confirms) that many principals spend little time in instructional supervision. The article, "Three Principals Discuss the Principal's Leadership Role," challenges the principal to accept responsibility for supervisory leadership. Knaub, in one of the three vignettes, provides an example of local school organization for improvement of instruction. He describes the function of the Instructional Committee as part of a shared decision-making leadership model. The other vignettes by Vann and Novotney portray the principal as leader both for curriculum development and for instruction. The opportunity for principal leadership in these areas clearly exists; to provide that leadership principals must recognize the instructional improvement and curriculum development areas as top priorities. Novotney states that principals who *are* instructional leaders in their schools (1) believe (that instruction is important), (2) analyze (their commitment), (3) act, and (4) persist.

Viewed from an organizational standpoint, the supervisory *position* must be looked at in relation to the other positions in the formal organization structure of the school. An analysis of organizational structure, including both line and staff relationships, introduces the issue of supervisory authority: Should supervisors have "power with" or "power over" (to use a Kimball Wile's phrase) those with whom they work? Articles by Markowitz and Unruh address the authority issue.

Markowitz believes that "supervisors face the dilemma of being middle-management personnel committed, on one hand, to the achievement and survival concerns of educational organization and, on the other, to authentic human concerns that revolve around the feelings, worth, and independence of human beings." Students of supervision will recognize these dilemmas and practitioners will relate to them. Both will welcome the scholarly discussion by Markowitz of the authority issue.

In discussing trends and issues, Unruh states that "a major problem in supervision today is the haziness that surrounds these concepts [authority, responsibility, and accountability] both from the view of the supervisor and from the view others have of the supervisor." Unruh advocates the authority of expertise based on full competence in supervisory skills and "inward strength that comes from capability." Markowitz's term for such authority is "authority of competence."

As readers direct their attention to the articles, the following questions may stimulate reaction and discussion. Of the types of authority discussed by Markowitz, which is most compatible with the role of the supervisor as you envision it? Why do you reject the other types? What are the implications of Vann's study for central office supervisors? What are some steps that might be taken in a school district to eliminate the "haze" that Unruh believes now surrounds authority, responsibility, and accountability as they relate to supervision?

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# The Dilemma of Authority in Supervisory Behavior

***SHIRLEY MARKOWITZ****

*Some system of authority is essential for organizational survival. Supervisors daily face the dilemma of authority. As middle management personnel they have two commitments: (a) to the achievement and survival concerns of educational organizations and (b) to human concerns that revolve around the feelings, worth and independence of human beings.*

SERGIOVANNI and Starratt pose a fundamental question that is basic to the ends, means, and outcomes of education: Should schools use people to accomplish organizational ends or should people use schools to accomplish human ends? They ask the reader to recall, "the countless times he found no reason or no record of origin for a particular policy, act, or way of behaving in the schools of his experience."[1]

The frustration of many encounters with what appeared to be bureaucratic "mindlessness" motivated me to study the bureaucratic-professional interface of authority in supervisory behavior and to locate meaning for my own feelings about authority in general.

The supervisor in the educational system is plagued by ambiguities. His or her position in the authority structure is ill-defined and quite often vulnerable. There is a lack of clarity in the definition of his or her role and a lack of agreement on the functions associated with supervision.

Alfonso, Firth, and Neville suggest that supervisors are often caught in a "power limbo."

In all too many cases, supervisors have spoken with little authority. Unsure of their own esteem and organizational status, they have too often spoken timidly and behaved conservatively. They have been reactors, consultants, and instructional counselors almost exclusively, rather than intervention agents seeking to influence teachers directly. They have responded, rather than initiated. The structure has often placed them in a "power limbo"—neither line nor staff, neither administration nor faculty, but somewhere in between, with uncertain and greatly varying degrees of power and authority. Such status-and-legitimacy confusion breeds weak and ineffective supervision.[2]

[1] Thomas J. Sergiovanni and Robert J. Starratt. *Emerging Patterns of Supervision: Human Perspectives.* New York: McGraw-Hill Book Company, 1971. p. 36.

[2] Robert J. Alfonso, Gerald R. Firth, and Richard F. Neville. *Instructional Supervision.* Boston: Allyn and Bacon, Inc., 1975. p. 342.

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## Authority and Accountability

The above-mentioned authors regard supervisory behavior as functioning within a three-dimensional matrix of intervention, interpersonal, and milieu components in which the location of supervisory behavior, within an organizational framework of authority and accountability, is placed in a new perspective. The authority of competence is perceived as operating in tandem with formal authority, to increase the power of supervision.

They define instructional supervision as: "Behavior officially designated by the organization that directly affects teacher behavior in such a way as to facilitate pupil learning and achieve the goals of the organization." [3]

The attainment of these objectives in supervision does not imply that technical competency and respect for human values are mutually exclusive. Both are professional imperatives. Accountability is perceived as a two-way process in the significant administrative structure in which supervisory activity occurs and may be measured by the congruence between supervisory behavior and the skills that the educational organization supports.

No supervisor can work as an agent of change in the improvement, support, and study of instructional behavior unless the organization to which he or she is responsible holds itself accountable for creating a support system in which effective instructional supervision is highly valued, given appropriate status, and is rewarded within the formal organizational structure.[4]

The supervisor, in turn, is held accountable for an active utilization of intervention components (planning, strategizing, participation, modification, and support) as they are applied to the interpersonal (reference, esteem, status) and milieu components (expectation, perception, suitability) in relation to the overall goals of the entire school system.[5]

[3] *Ibid.*, p. 35.

[4] *Ibid.*, p. 340.

[5] *Ibid.*, pp. 207-31.

## Advance of Bureaucracy

Max Weber believed that, "the decisive reason for the advance of bureaucratic organization has always been its purely technical superiority over other forms of organization." [6]

His formulation of three types of authority provides a framework for the examination of authority and power in bureaucratic structures:

*Traditional.* This authority base is legitimized by the belief in the sanctity of tradition. On this base, a given person or caste of people, usually on the basis of heredity, is preordained to rule over the others. . . . This is particularly visible in patriarchal family business and in paternalistic schools.

*Charismatic.* This authority base rests on a profession of faith which considers the pronouncements of a given leader to be inspired by supernatural powers. . . . In contemporary organization, the innovator, the champion of new educational and social movements, may be able to tap the charismatic power base. Charismatic movements eventually evolve into traditional or bureaucratic management systems.

*Legal.* This authority base is legitimized by a formalistic belief in the supremacy of norms and laws. In legal systems, compliance occurs as a result of a body of impersonal and universal principles and rules rather than of loyalty to the traditional or charismatic leader. Legal authority forms the basis for the ideal bureaucratic organization.[7]

Sergiovanni and Starratt summarize Weber's lengthy description of an ideal bureaucrat:

Weber's ideal bureaucracy is characterized as follows: (a) the use of a division of labor and of specific allocation of responsibility; (b) reliance on fairly exact hierarchal levels of graded authority; (c) administrative thought and action based on written policies, rules, and

[6] Max Weber. "Bureaucracy." In: Hans Gert and C. Wright Mills. *From Max Weber.* New York: Oxford University Press, 1946. p. 214.

[7] Max Weber. *Theory of Social and Economic Organization.* Translated by A. M. Henderson and Talcott Parsons. Glencoe, Illinois: The Free Press, 1947.

regulations; (d) an impersonal, universalistic application of the bureaucratic environment to all inhabitants; and (e) the development and longevity of administrative careers.[8]

They discuss a fourth source of organizational authority based on professional norms and skills. Although professional authority is described as being similar to legal authority, "in that both are legitimized by codes, rules, and norms, this similarity is the major cause of conflict between the two."[9]

Dysfunctions occur in Weber's ideal bureaucracy when "reliability," through rules, results in uniform and programmed decision making.

> . . . This in turn decreases the search for alternatives to problems and results in more rigid behavior on the part of supervisors. The entire system also provides the supervisor with a potent weapon which permits him to escape personal accountability for his actions.[10]

The authors suggest that newer forms of authority, based on professional competence, have emerged to challenge the "tyranny of bureaucratic rules." They distinguish bases of formal authority (hierarchical, legitimacy, position, and office) from sources of functional authority (professional competence, experience, and human relations skills) and conceive of authority as:

> . . . a broad basis for actions not directed at anyone or another individual. Power, on the other hand, is derived from authority and administratively is directed at winning individual or group compliance on behalf of organizational superiors.[11]

## The Authority of Competence

Peabody summarized the work of Weber, Urwick, Simon, Bennis, and Presthus in identifying four broad categories of authority:

> (a) Authority of legitimacy; (b) authority of position, including the sanctions inherent in position; (c) authority of competence, including both technical skills and experience; and (d) authority of person, including leadership and human relations skills.[12]

He examined and compared perceptions of the bases for authority in three public service organizations: a police department, a welfare office, and an elementary school. He concluded that, "teachers seem to value authority of competence over authority of person, position, or legitimacy."[13]

An article entitled, "Authority, Conflict, and Teacher Effectiveness," by William G. Spady, has implications for instructional supervisory behavior, because it defines, with a good deal of precision, legitimate modes and models of authority that are constructed out of professional ability and legitimate human concerns for the improvement of instruction, communication, and leadership, rather than control functions that depend on the mere occupancy of a position that the institution attempts to invest with legitimacy.[14]

A parallel idea is expressed in *Instructional Supervision* by Alfonso, Firth, and Neville:

> Unless there is a behavioral commitment to these purposes [human ingenuity and creative input], the school may become a place where "rules" are played out and authentic human concern is a stated, rather than a real goal.[15]

Spady describes a role model of expert authority, which is dependent on "demonstrated competence and technical resources of individuals, regardless of their formal status or characteristics."[16]

An important point in Spady's article is that, in legitimizing bureaucratic authority,

[8] Sergiovanni and Starratt, *op. cit.*, p. 51.
[9] *Ibid.*, p. 38.
[10] *Ibid.*, p. 55.
[11] *Ibid.*, p. 43
[12] Robert L. Peabody. "Perceptions of Organizational Authority: A Comparative Analysis." *Administrative Science Quarterly* 6: 467; March 1962.
[13] *Ibid.*
[14] William G. Spady. "Authority, Conflict, and Teacher Effectiveness." *Educational Researcher* 2: 4-10; January 1973.
[15] Alfonso, Firth, and Neville, *op. cit.*, p. 151.
[16] Spady, *op. cit.*, p. 6.

supervisors must be able to gain voluntary and automatic compliance, because they are perceived as having credibility with respect to criteria that will not work to the disadvantage of those who comply.

He also writes that supervisors must have some influence on negative sanctions and positive rewards within the system, and they must work for achievement goals by confronting the expectations of those to whom they are responsible with a clear notion of how to go about meeting them.

## Exercise of Power

French and Raven describe five bases for power which can be exercised in supervisory behavior:

> (a) Reward power, based on P's perception that O has the ability to mediate rewards for him; (b) coercive power, based on P's perception that O has the ability to mediate punishments for him; (c) legitimate power, based on the perception by P that O has a legitimate right to prescribe behavior for him; (d) referent power, based on P's identification with O; (e) expert power based on the perception that O has some special knowledge or expertness.[17]

Bachman, Bowers, and Marcus correlated these five bases of supervisory power to organizational effectiveness and individual satisfaction in five organizational settings. They found that the most important reason for complying with the wishes of superiors was response to legitimate power and expert power, and expert power and referent power were strongly correlated with worker satisfaction.[18]

Additional research based on the French and Raven formulation indicates that, "supervisory behavior which relies on functional authority and on expert and referent power bases will have positive effects on the human organization of the school."[19]

[17] J. R. P. French, Jr., and B. Raven. "The Bases of Social Power." In: D. Cartright and A. F. Zander, editors. *Group Dynamics: Research and Theory*. Second edition. Evanston, Illinois: Row, Peterson, 1960. p. 612.

[18] Sergiovanni and Starratt, *op. cit.*, pp. 44-45.

[19] *Ibid.*, p. 46.

## Obedience to Authority

Stanley Milgram's book, *Obedience to Authority*, is a frightening reminder of what happens to people who become locked into a structure in which they do not see themselves as acting on their own. They see themselves as the intermediate link in the execution of another person's wishes and feel far removed from the consequences of that action. Milgram refers to the classic conflict between a conservative philosophy that argues that the very fabric of society is threatened by disobedience and the humanist view that the moral judgment of the individual must override authority when the two are in conflict.

He developed a laboratory experiment involving electric shock which provided a systematic way to measure obedience. Shocks ranging from 15 volts to 450 volts were administered in 15 volt increments by a "teacher" to a "learner" in compliance with instructions from the experimenter, who was regarded by the "teachers" as a figure of legitimate authority. The experiment was conducted with 40 different subjects at Yale University and, later, in Bridgeport, Connecticut. Forty-eight percent of the subjects in Bridgeport administered maximum shock, compared to sixty-five percent at Yale. Apparently, the "teachers" in Milgram's experiment did not have the skills or inner resources to disengage themselves from the experiment, despite their obvious discomfort at the increasing pain inflicted on the protesting "learners." They continued to administer shocks, either because of their conceptions of obligation and duty, or because they thought they were involved in an experiment in which no real harm would be done. Milgram concluded that:

> Ordinary people, simply doing their jobs, and without any particular hostility on their part, can become agents in a terribly destructive process. . . . Relatively few people have the resources needed to resist authority.[20]

[20] Stanley Milgram. *Obedience to Authority*. New York: Harper & Row Publishers, Inc., 1974. p. 6.

## Shared Authority vs. Delegated Authority

Kimball Wiles writes that "shared authority is not as familiar a concept as delegated authority."[21] Although supervisors cannot escape responsibility to their supervisors, they can exercise authority as they see best if they feel it will get better results, and this involves making decisions on whether to delegate or share authority on the basis of how the work of the staff will be affected.

> Persons to whom authority is delegated assume responsibility for its use but not for the decision on how it will be used. They are responsible to their official leader, but not to anyone beyond him. The arguments of the lesser Nazis in the trials following World War II illustrate the refusal to accept responsibility for decisions concerning the use of authority. On the other hand, persons with whom authority is shared assume responsibility for decisions concerning its use as well as for the execution of decisions. All persons who accept a share in deciding how authority will be used become responsible to each other and to persons outside the group for the utilization of the authority.[22]

## Anthropogogical Authority

Kenneth Benne proposes a new model for a more "rational situational determination" of educational process, which he calls "anthropogogical authority," in which men and women of all ages engage in "mutual renewal and reconstruction of persons-in-cultures," learn to accept conflict as part of the reality of contemporary life and education, and "focus processes of joint learning upon the very issues which are involved in the conflicts." He suggests that we deal with these issues through collaboration, dialogue, and commitment.

Benne bases a working definition of authority on a general condition of human development in which the individual or group "fulfilling some purpose, project, or

[21] Kimball Wiles. *Supervision for Better Schools*. Third edition. Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1967. pp. 181-83.

[22] *Ibid.*, p. 181.

need, requires guidance or direction from a source outside himself or itself." [23]

The ultimate bearer of educational authority is a community life in which its subjects are seeking fuller and more valid membership. Actual bearers and subjects of this authority must together build a proximate set of mutual relationships in which the aim is the development of skills, knowledges, values, and commitments which will enable the subjects to function more fully and adequately as participants in a wider community life which lies beyond the proximate educational associations.[24]

## A Necessary Requirement

Some system of authority is a necessary requirement for organizational survival. The formal organization of the school is just beginning to be studied and evaluated against the changing patterns of community organization, needs, and values.

Supervisors face the dilemma of being middle-management personnel committed, on one hand, to the achievement and survival concerns of educational organization and, on the other, to authentic human concerns that revolve around the feelings, worth, and independence of human beings.

We need to study the nature of authority and alienation in our society, their effect on human behavior, and ways in which those who assume authority can promote self-actualization as opposed to submission and alienation.

[23] Kenneth D. Benne. "Authority in Education." *Harvard Educational Review* 40: 385-410; August 1970.

[24] *Ibid.*, p. 401.

Erich Fromm defines the alienated person as one who has no sense of "I"—one who has transferred the functions of feeling and thought to external objects and institutions. Such a person is dominated by fragmented, technical, institutional behavior and becomes alienated from his or her own actions and from the total human act.[25]

Brauner and Burns write that organization and order are necessary disciplines that provide the springboard to creativity but issue a warning on the overextension of authority.

> When men insist on more order than can be proven necessary, then they are asking for mere conformity. . . . Instead of pouring their energy into creative activities they must hack away at the crabgrass of conformity just to secure a small patch of dirt on which to rest from exhaustion. . . . The extension of order must be made to justify itself at each step and to retreat where justification cannot be found. [26]

The legitimate authority of instructional supervisory behavior should function to provide an enlightened process of human interaction, a greater awareness of ways in which people learn and change, and, finally, it should improve the quality of life within the system and within the greater society. □

[25] Erich Fromm. "The Sick Individual and the Sick Society." In: William F. O'Neill, editor. *Selected Educational Heresies*. Glenview, Illinois: Scott, Foresman and Company, 1969. pp. 125-35.

[26] Charles J. Brauner and Hobert W. Burns. "Creativity and Conformity." In: *Problems in Education and Philosophy*. Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1965. pp. 125-29.

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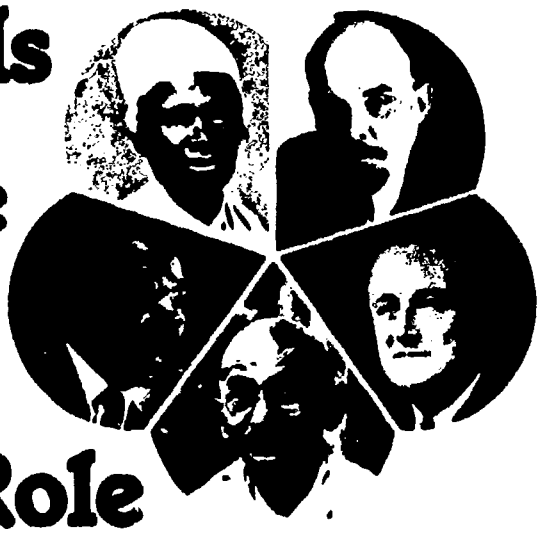
# Three Principals Discuss the Principal's Leadership Role



## Can Principals Lead in Curriculum Development?

**Allan Vann**

The fact that many principals neglect their responsibilities as leaders in curriculum development is well documented by virtually every major study of the elementary school principalship.[1] These same studies also report, however, that most principals would *prefer* to devote much more time to curriculum development. What prevents them from doing it?

A study I conducted[2] seems to refute reasons traditionally given by principals. They usually say their time is consumed by relatively unimportant administrative and clerical duties; that if only they had more help with these routine tasks, they would spend more time on curriculum development. I found, however, that the availability of administrative and clerical assistance, and even the availability of help for curriculum develop-

[1] See: Department of Elementary School Principals. *The Elementary School Principalship in 1968 . . . A Research Study.* Washington, D.C.: National Education Association, 1968; Neil Gross and Robert Herriot. *Staff Leadership in Public Schools: A Sociological Inquiry.* New York: John Wiley and Sons, 1965; John M. Foskett. *The Normative World of the Elementary School Principal.* Eugene, Oregon: Center for the Advanced Study of Educational Administration, University of Oregon, 1967; John I. Goodlad *et al. Behind the Classroom Door.* Worthington, Ohio: Charles A. Jones Publishing Co., 1970; Gerald Becker *et al. Elementary Principals and Their Schools: Beacons of Brilliance and Potholes of Pestilence.* Eugene, Oregon: Center for the Advanced Study of Educational Administration, University of Oregon, 1971.

[2] A. S. Vann. "Relationships Between Selected Variables and the Amount of Time Devoted to Curriculum Development by Elementary School Principals." Doctoral dissertation, Teachers College, Columbia University, 1978. This study had a sample of 50 principals, all located in one suburban county in New York.

ment, was not significantly related to the amount of time devoted to curriculum.

Another complaint frequently cited by principals is that they are not granted enough autonomy in their role as instructional leader. I found no significant relationships between the amount of time devoted to curriculum development and the principal's autonomy in staff selection, budget preparation, instructional material selection, and autonomy in curriculum development itself.

What about graduate preparation? It was not significantly related to the principal's time commitment to curriculum development either, but the study did reveal two strong associations. Of those eight principals "most committed" to curriculum development (spending an average of 16 percent or more of their time on this function in a workweek), 100 percent reported having at least six credit-hours of coursework in curriculum development; of those 15 principals "least committed" to curriculum development (spending 0-5 percent of their weekly time on this function), only 40 percent reported having had at least six credit-hours.

A similar contrast between most and least committed principals was found when principals were asked to report on how adequately their graduate coursework had prepared them to deal with their curriculum development function: 100 percent of those principals most committed, compared to 67 percent of those least committed, reported such coursework as having been at least adequate.

Only one variable tested in the study was found to be significantly related to the amount of time devoted to curriculum development by elementary school principals: the principal's perception of the importance of the function of curriculum development to central office superiors. Principals' own views on the importance of curriculum development were *not* significantly related to the time factor; only their perceptions of their superiors' views were. Principals allocated their time to virtually all functions according to the priority of those functions they perceived to be held by their superiors. It can be suggested, therefore, that principals devote little time to curriculum development because they perceive curriculum development to be a relatively low priority of their superiors.

### What Should Be Done?

If these findings are generalizable on a wider scale, graduate schools of education and state departments of education should reexamine the preparation and certification requirements of would-be principals. Greater attention should be given to training future principals in the area of curriculum development.

The major implication of the study, however, is the need to focus greater attention on the relationship between the principal and his/her superiors in the central office. Principals see themselves in role-conflict situations; they wish to act as instructional leaders, but are evaluated by superiors who appear to set priorities on non-instructional tasks.

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## Principal as an Instructional Leader

**Patricia B. Novotney**

Principals who are instructional leaders have several things in common. First, they *believe* that instruction is important. Otherwise they would immerse themselves in administrative duties that could be capably performed by others.

Second, they *analyze* their own commitment, asking themselves: When did I last attend a *curriculum* conference? How many curriculum journals do I read? How frequently do instructional items appear on staff meeting agendas?

Third, they *act*. Instructional leadership requires ideas, plans, techniques—that must be diverse enough to match the needs of teachers who differ in their backgrounds, abilities, and motives.

Fourth, they *persist*. Principals who are sharp instructional leaders stick to the task no matter what. That requires stamina and dedication. It also requires clarity. Setting realistic expectancies and communicating them clearly are essential.

It is no doubt obvious that I view instructional leadership as a top priority for principals. To me, leadership means setting the pace and moving forward. In some cases, it requires risk-taking. In all cases it requires appropriate timing and sensitivity.

*Patricia Novotney is Principal, Los Naranjos School, Irvine Unified School District, Irvine, California.*

## Shared Decision Making—A Must!

**Robert E. Knaub**

I have always felt that if teachers were given three key elements—time, information, and shared decision making—the cumulative effect of teachers and the principal working together would be a positive force. Power is not finite; if properly shared, it grows so that everyone has more.

According to Bachman and Tannenbaum[1] teacher job satisfaction is linked to teachers feeling good about their ability to control their working environment and to have input in building decisions. Morale and teaching performance drop when teachers feel unable to effect change.

The model of leadership that has worked for us is based on involvement of an Instructional Committee. The process we follow includes:

- Step 1. Parents, staff members, and students are surveyed about school goals (needs assessment).
- Step 2. A building committee analyzes data and develops tentative goals for the building.
- Step 3. Staff members and a committee of parents approve the building goals.
- Step 4. The Instructional Committee makes a plan to accomplish the goals and puts the plan into action.
- Step 5. Some type of evaluation is done each year to see if the goals have been met.

The Instructional Committee oversees the entire process. Composed of the principal, team leaders, and other elected or selected staff members recognized for their leadership, the committee has many responsibilities. Members examine the goals generated by the needs assessment and determine: (a) how the new goals relate to the present program; (b) how they relate to the instructional, equipment, and staff development budgets; (c) which goals have higher priority; (d) what program activities are needed; and (e) in what way the program will be evaluated.

If some goals have been mandated by the school district, they may have to be acted on first. With lid bills, reduced enrollments, and mandated programs, it might not be possible to implement some of the goals during the first year or two. The committee and the principal need to communicate these special problems to the the entire staff.

The job of educating our young people is becoming more difficult. In order to create the best conditions for educating them, it is necessary for principals and teachers to exchange ideas, set priorities, and share in decision making.

[1] Jerald G. Bachman and Arnold S. Tannenbaum. "The Control-Satisfaction Relationship Across Varied Areas of Experience." In: Arnold S. Tannenbaum, editor. *Control in Organizations*. New York: McGraw-Hill Book Co., 1968. pp. 241-49.

*Robert E. Knaub is Principal, Millard Lefler Junior High School, Lincoln, Nebraska.*

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# Team Building for Supervisory Support

**Gary Freeman, Roberta C. Palmer, and Ann S. Ferren**

*When faced with budget cuts, a region of the District of Columbia public schools undertook a massive training program to make up for reduced supervisory services.*

What can a large urban school system do to meet the needs of classroom teachers during times of declining enrollments, budget cuts resulting in reduced staffing and services, and public lack of confidence? The issues are common to most schools, but responses differ. One region of the Public Schools of the District of Columbia addressed the problem directly and undertook a massive training program to provide supervisory support services at the local school level with no increase in budget or personnel.

In the spring of 1974, the school system was decentralized into six administrative units. Regional superintendents were given administrative authority and responsibility for educational programs in their regions including all grades pre-K through 12 and the programs in special education, career development, pupil services, curriculum and instructional support, and staff evaluation.

## Teacher Needs Not Met

The first order of business was to look at the instructional program and determine how the regional staff might provide the necessary instructional support to its teaching staff. The number of supervisors had already been cut prior to decentralization, so only three supervisors could be assigned to each region. This was not adequate to support the needs of approximately 1,200 classroom teachers.

After a year and a half of functioning with these reduced supervisory services, administrators in the region made it clear that teacher needs were not being met. Other indices supported this concern. The problem was most critical at the secondary level because there were no subject area specialists; all three of the supervisors had been elementary-based. School administrators and regional personnel formed a committee to consider means of providing increased support. They suggested clinical supervision as a model because it seemed to fit with changing ideas in the area of teacher development and, more importantly, held promise as an approach that teachers would not view negatively.

Since there was no hope for increased support personnel or funding, the school district looked within to see what could be done with existing resources. Administrators recognized the need to increase their own involvement in providing supervisory support for teachers. They also recognized the need for training in supervisory techniques, with specific emphasis

on the newer concepts of supervision.

### Inservice Training Designed

In response to the identified needs of the region, a program of inservice training was designed that had as its focus the improvement of the supervisory process. The program also had to meet the following criteria:

1. Be adaptable to different organizational settings; there are 26 schools in the region.

2. Be adaptable to different leadership styles; there were potentially 65 administrators to be involved.

3. Be adaptable to different teacher needs; the hundreds of teachers to be reached were at different stages in their professional growth.

4. Be realistic and believable; personnel had grown skeptical about change due to the school system's history of start and stop efforts.

5. Be self-sustaining; after the initial efforts involving an outside consultant, the regular staff would have to be able to continue the program.

6. Be integrated with ongoing programs in the system; there were certain givens that were requirements of the larger school system.

7. Be all-inclusive; that is, involve everyone who would ultimately have responsibility for improving classroom instruction.

8. Be a team effort, and not the dictate of one or two leaders; thus there would have to be many stages for decision making, shaping, and assessment by the participants along the way.

The first year of the program provided an inservice course for all administrators in the region. There were many administrators who had responsibility for supervision but had only limited training in the supervision of instruction. There were others with training but limited experience. Still others had not had any formal training in the techniques of supervision.

The course was designed to provide not only additional skills, but also opportunities for administrators to assess their current supervisory behavior, examine trends in the field of supervision, compare their ideas and efforts with those of their colleagues, and, finally, to consider the values and assumptions that underlay their administrative/supervisory behavior. Taught by a consultant from a local university, the course included lectures, roleplaying, case studies, value testing, and opportunities for relaxed social interaction.

Every administrator in the region was invited to participate. The regional superintendent was involved, acting assistant principals were involved, and there were no distinctions among participants. The active participation of the regional staff underscored the fact that this was a total regional effort and a cooperative venture. (Initially there were several reluctant administrators who did not participate in the program. However, after hearing the enthusiastic comments of so many of their peers, they, too, became members of the team.)

After seven formal training sessions, the administrators were ready to practice their new skills and attitudes. Some did, and some didn't. The consultant visited as many of the schools as possible to encourage, demonstrate, provide feedback, and facilitate the practice phase.

The administrators then met with their colleagues to share their experiences. They brought soundtapes and videotapes to be critiqued. They shared both the good and the bad. They carefully evaluated the potential of clinical supervision as adapted to their own needs and conditions. As a group, they concluded that clinical supervision required skill, was time consuming, but, nevertheless, was worthwhile. Several administrators decided that they were still not prepared for the required supervisory role. Finally, they noted that it would help if teachers understood the model. All of these evaluative comments were important in planning the next phase of the program.

During the second year, the consultant continued to meet with the administrators to deal with specific concerns. Discussions emphasized adapting clinical supervision to specific settings and leadership styles. The administrators asked for specific help with problems such as time management and the relationship between supervi-

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sion and evaluation. They found that getting together on a regular basis was of as much value as the formal content, for it encouraged the administrators to think regularly about supervision and share experiences in providing services to their teachers.

By the end of the second year, evaluative data indicated increased interest and confidence in the regional effort to provide additional supervisory support. Ninety-five percent of the administrators expressed confidence in the clinical supervision model as an aid in the improvement of instruction; 90 percent of the administrators felt that continued implementation of the supervision project would ultimately provide a strong system of supervisory support for teachers.

### Teachers Brought Into Program

Also, during the second year, a major effort was launched to bring teachers into the program. With the help of Title IV funding, a full semester graduate course was offered for selected teachers from every school. Secondary school departmental chairpersons and key teachers from the elementary schools were invited to participate. The teachers received exactly the same training in supervision skills as the administrators, with additional sessions on alternative teaching strategies and peer supervision —the aim being to develop helping teachers who have a repertoire of both teaching and supervisory skills.

In order to meet the criteria of adaptability and credibility, the design of the course received careful attention. At the beginning of the course, the consultant provided large group instruction, which was followed by small group discussions. Administrators who had been in the inservice program the previous year led the discussion sessions. Because of their direct experience with clinical supervision, they were excellent on-the-spot resources. Furthermore, their obvious commitment encouraged the teachers to believe in the process.

Midway in the course, the teachers, with their administrators, were asked to start planning a program of peer support for their individual schools. Each plan was to utilize skills and ideas from the course and identify organizational constraints existing within the school. Out of this planning experience came many useful questions and concerns that served as a focus for the rest of the course and helped to ensure that the instruction was reality-based. The teachers shared the constraints that they recognized in the schools and asked such questions as, "How can I give support and help to a teacher 15 years my senior?" "What can I do if my principal is unable to provide time for clinical supervision?" This planning process gave the instructors additional insight into organizational differences and relationships between teachers and administrators.

The teachers concluded their course with a practicum. By this time, many of the questions and fears had disappeared. As teachers began working with their colleagues to practice the clinical supervision model, new relationships developed. They reported many cases of genuinely rewarding interaction.

Formal evaluation of the perceptions of the teachers at the end of the training year showed that 89 percent of the teachers had a more positive attitude toward supervision; 98 percent of the teachers professed an interest in improving instruction, an essential first step in improving teacher performance; 94 percent of the teachers expressed confidence in the clinical supervision model as an aid in the improvement of instruction. During this first year, 154 Region VI teachers successfully completed the training program. A second year of federal funding supported the training of 197 additional teachers.

### Program's Success Analyzed

The program is now in its fourth year and has met the goal of becoming self-sustaining. The consultant no longer teaches in the program. The administrators who initially taught with the consultant are now teaching the course with the help of teacher assistants who received their training in previous years. By the end of last year, one-third of the teaching staff and the administrators in each school had completed the training program.

The questions now to be answered are: 'Will the peer supervision program continue? Will teachers help each other more systematically than the old buddy system? Will administrators spend more time on instructional support? Will classroom instruction improve?" The answers to questions such as these will determine the long-range success of the program. There is clear evidence that the short term goals have been met. Within the constraints outlined, the region was able to provide a massive training program that was adaptable and individualized, yet consistent with a central purpose. What is most exciting about the program is that it evolved out of the needs and ideas of the participants. This may be easy to do with a dozen or so people; not so with 26 schools, 65 administrators, and 323 teachers.

The secret to success has been the commitment of the individuals involved. This came from the openness with which the program was designed, the immediacy of the training to known needs, and the team approach to solving a problem. While it cannot be proved that classroom instruction has improved as a result of this effort, there is clearly a renewed sense of commitment to the potential of supervision and confidence in the merits of peer supervision. EL

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# Editorial

## Instructional Supervision: Issues and Trends

Glenys G. Unruh

In the field of instructional supervision we may have arrived at a critical moment in history. Supervisors will either rise to the challenge of effective leadership or find that their functions have been taken over by other individuals or agencies. An imminent threat to local initiative is the upsurge of governmental regulations, assessments, mandates, and competency tests, that attempt to control the "quality" of instruction by means of forms required by state and federal offices.

The trend toward control over the schools by higher governmental agencies continues to accelerate in proportion to the hue and cry for improving standardized test scores and unfavorable publicity about the quality of instruction in the schools. Other pressures come from needed attention to equal rights and culturally diverse concerns, as well as self-interests of teacher organizations, and public apathy toward providing increased financing for schools. It is not news in educational circles that budget-related cutting of professional positions usually affects supervisory personnel first. Would this be true if these services were indispensable for improving the quality of instruction? Are supervisors providing leadership for joint planning and vigorous participation by all parties concerned in staff development and curriculum development programs? Can the field of supervision rise to meet the challenge of the critical issues and problems that are presently converging on the schools?

The recurring issue of what to teach has never been more demanding than it is now. But issues in subject matter are only a part of the complex world of the supervisor. Issues in supervision per se abound as well. In fact, some of the setbacks and bypasses of supervisory personnel can be credited to unresolved issues in supervision in the past. Sometimes, in seeking to be a pal of the classroom teacher, supervisors have been timid in carrying out their roles and have exuded good will but have not provided effective educational leadership. In other cases, supervisors have lacked visibility in the schools and have seemed to be remote figures who had no realistic connection with the actual world of the classroom. Supervisors have been appointed to responsible positions although they lacked effective competencies for producing effective teacher growth with resultant student growth. Sometimes supervision has been viewed solely as teacher evaluation and supervisors have moved to an adversary role with teachers and thus have lost effectiveness in supervision.

Supervisors are unsure in some instances of how to work with present-day, mature, tenured faculties who are scornful of persons in supervisory positions. Job-secure teachers seem to view the most desirable role of the supervisor as someone who should hear complaints of the staff and then take responsibility for developing solutions. An area of supervisory problems peculiar to desegregating school systems is that of supervising a person of another race. If supervision is unsure of itself in the first place, add the ingredient of cultural pluralism, and the complexity of the matter increases.

These and other issues are not likely to go away in the near future. Supervision must confront the realities in new ways. The worst reaction would be to accept these issues as a way of life and sidestep them as much as possible by retreating to one's office to fill out stacks of forms, send out memos and surveys to accumulate information, and generally cope with peripheral matters while appearing to be very, very busy.

### Approach to . . .

The most productive approach to issues is to see them positively, recognizing that issues present highly challenging opportunities for

leadership. In the face of difficulty, fundamental change can be realized that would not be possible in times of stability and satisfaction with the status quo. In a climate teeming with issues, problems, and dilemmas, attitudes for wholesome change are more easily generated. Every issue has in it the opportunities for effective leadership. Schools are looking for leadership, are ready for constructive action, and will support effective leadership through high quality supervision.

Greatness in supervision can stem from greatness in interpretation of the concepts of authority, responsibility, and accountability. However, a major problem in supervision today is the haziness that surrounds these concepts both from the view of the supervisor and from the view others have of the supervisor. If we persist in permitting a haze to surround these concepts, we will promote and perpetuate incompetence in supervision.

**Supervisory Authority**

Authority to do something about solving a problem is essential if supervisors are to be held responsible for developing a solution. However, authority is frequently misplaced, misused, or misinterpreted. Authority frequently connotes authoritarianism in the sense of expecting blind submission to authority. Therefore, many supervisors, probably the majority of them, avoid any trace of authoritarianism in their manner, because they have learned from experience that teachers will resist such an approach. Too frequently, supervisors go to the opposite extreme of laissez-faire behavior or deliberate abstention from direction or planning. The consequences of authoritarian behavior are serious: resistance and hostility of teachers, and loss of initiative and creativity with side effects of a flat, uninspired curriculum and mode of instruction. On the other hand, abstention from authority is also an abstention from responsibility for assessing the quality of instruction and maintaining high standards of teaching.

Supervisory authority, in the best sense of the term, is based on the premises of democratic supervision in which a vigorous and dynamic supervision program is pursued in the schools with full staff involvement in educational planning, with leadership as a shared responsibility with teachers, with use of supervisory techniques that stress warmth and friendliness and avoid threat, insecurity, and preaching and are primarily concerned with releasing the talents of each individual. The highest quality of supervisory authority comes from inner strength and full competence in supervisory skills. A considerable body of knowledge is presently available on professional competencies of supervisors. These include skills for developing curriculum, developing learning resources, staffing for instruction, organizing for instruction, utilizing supporting services, providing in-service education, and relating to the public. With a full repertoire of professional supervisory competencies in these areas, the inward strength that comes from capability will bring with it the subtle authority of expertise in a field that requires no mandate to invoke.

Responsibility in supervision is essentially responsibility for practicing the best that is known about supervision. It must be recognized that supervisory persons have made great strides in recent years in meeting new and constantly changing problems, new populations, and new pressures. Supervisors generally are excellent troubleshooters and accept responsibility for coping with daily crises and dealing with details. However, it is possible for supervision to become bogged down in short-range problems. Then, with little time to spare for thinking big, supervisors may resort to methodologies in staff development and curriculum improvement that researchers have found to be generally unsuccessful in this modern age. Supervisors may find themselves becoming obsolete through lack of contact with knowledge-generating centers or inadequate in developing skills of planning, including responsibilities for shared leadership in establishing directions, goals, and priorities. To meet their

major job responsibilities for improving the quality of instruction and producing a constantly updated curriculum, supervisors must provide leadership in constant reformulation of curriculum and instruction as new information becomes available.

### A Study of Staff Development Programs

An example of new information from a recent investigation is a series of studies of staff development organized by the Rand Corporation.[1] In an extensive inquiry into staff development programs in local school districts across the country including intensive field work in 30 districts, Rand discovered that there seemed to be no conceptual model underlying most staff development programs, but that there appeared to be a hodgepodge of miscellaneous workshops and courses. The study distinguished between successful and unsuccessful staff development programs. The unsuccessful programs relied on a deficit model; that is, an approach that assumed that teachers were not very competent and that the central office administration knew what teachers' deficits were and what would be best for them to do. The unsuccessful models relied on teacher-proof packages imported from various development centers, and on top-down regimented workshops with everyone required to attend. The format followed the lecturer-consultant mode with reliance on outside consultants in a guru role. Utilization of time outside of school hours was the general rule with some use of summer work in advance of the school year, but little or no released time during the school term.

The more successful models studied by Rand were developmental models in which the teachers participated in solving the problems. These models were a point of view rather than a program. Teachers were viewed as professionals. Learning by doing was the theme, with local leaders and local materials developed by the teachers followed by planning that started before implementation of the program and continued throughout with regular staff meetings for constant revision based on changing needs and the growing experience of the staff. A large enough number of people was involved to provide stimulation and encouragement; however, there were few large group workshops. Usually small groups of four to eight people worked together close to the scene. Released time was provided as often as possible. Although there was not a standardized district program, there was general agreement throughout the district on the direction of instructional and curricular improvement.

Teacher centers proved to be a growing trend in the successful staff development programs, but not in the sense of complete dominance by teachers. Joint governance by both teachers and administrators was a key to successful staff development programs because different perspectives are needed on school problems. Indeed, the involvement and support of principals was considered to be a significant factor in successful programs of implementation. An implication of the Rand study is that responsibility in supervision is responsibility for learning and practicing the best that is known about supervision.

Another issue, closely allied with authority and responsibility, revolves around the matter of accountability. When applied to the teaching profession, accountability frequently becomes a fighting word, especially if expressed as a type of quality control. In other words, a question is raised whether schools are spending too much money on too little "production" in terms of student achievement and behavior.

Accountability as a broad societal concept is highly acceptable. The work of environmentalists, attention to population growth in relation to diminishing resources, investigations on behalf of consumer interests, and inquiries into questionable governmental operations all reflect concern for the accountability of individuals and institutions for

[1] P. Berman and M. McLaughlin. *Federal Programs Supporting Educational Change: The Findings in Review.* Santa Monica, California: The Rand Corporation, April 1975.

the consequences of their decisions and actions. In the realm of education, however, accountability has not been conceptualized as a collective effort. Supervisors, instead of meekly subscribing to a view of accountability that carries the hidden implication that the classroom teacher is the one person to be held accountable for student achievement, should take the lead in developing a broad public recognition of the accountability of home, community, and school for the behavior and achievement of students.

## Characteristics of Leadership

It is easy to say that what is needed in instructional supervision today is leadership, but it is not easy to define the distinguishing traits that will guarantee success. Leadership is an elusive but recognizable quality. While it cannot be specifically defined or its elements listed satisfactorily for all conditions, it can be recognized when it exists.

Twice in two years, the management of *Time* magazine has studied the characteristics of leadership. It first interviewed, then two years later assembled in a conference session, two hundred persons of diverse backgrounds whom it had identified as leaders and explored in depth the mysterious qualities of leadership.[2] Some of the characteristics noted were knowing how to use the complex forces at work today by being able to work with others in setting goals and promoting action by motivating people to participate. Also included were exemplifying integrity and tolerance, being willing to keep enough of an open mind to admit errors, demonstrating purposeful behavior, having self-discipline and good judgment, and being able to stimulate discussion and work toward a decision.

Other requisites of leadership seemed to include the capacity to work with adversity and frustration, the ability to see potential in others and help others seek their own potential, the ability to anticipate future events and make adequate preparation to avoid needless difficulties. Leadership implies facing the risk of criticism and misunderstanding while at the same time maintaining a sense of humaneness that can guide persons into a constructive future beyond immediate stress.

While leadership is a quality that seems to be somewhat intuitive yet complex in its attributes, nevertheless, it behooves the supervision profession to search for the knowledge that leads to acquisition of leadership competence, to develop insights and empathies that enrich the leadership function, and to develop the courage and backbone to practice educational leadership as the essential requisite of supervision.

[2] "Leaders or Leadership." *Time*. November 8, 1976. pp. 30-49.

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## Topic D

# Human Skills in Supervision

SUPERVISORS ARE LEADERS. THEY SPEND A LARGE PORTION OF THEIR TIME working with people. Their critical tasks—helping teachers improve instruction, curriculum development, and staff development—require the knowledge of group dynamics and organizational development and the ability to apply interpersonal skills. Many writings in the supervision field characterize supervisors as "helping," "facilitating," "serving," and "working with" teachers and other staff members. All general supervision textbooks include human skills in working with individuals and groups as an important topic for study.

Ritz and Cashell report research which shows that the supervisor's interpersonal skills strongly influence teacher perceptions of his or her effectiveness. Their research is based on the work of Arthur Blumberg in his book, *Supervisors and Teachers: A Private Cold War*. The findings of Ritz and Cashell underline the importance of interpersonal/communication skills in the development of healthy working relationships between teachers and supervisors. They conclude that "cold war" may be too harsh a term to use in describing the relationship of teachers and supervisors.

The premise for Glickman's article is that in order to work effectively with each teacher the supervisor needs to recognize the teacher's professional developmental stage and use the appropriate supervisory approach—nondirective, collaborative, or directive. The ability to implement the developmental approach requires skill in: (1) assessing teachers' professional developmental stages, and (2) employing a wide repertoire of supervisory behaviors including modeling, directing, measuring, presenting, interacting, contrasting, listening, clarifying, and encouraging.

Supervisory leadership requires both people skills and task skills, which are addressed in the Petrie and Burton and the Huckaby articles as they discuss leadership. Petrie and Burton focus on levels of leader development and related supervisory and teacher technologies. They identify five levels of leadership, each more complex and more difficult to achieve than lower ones. Inherent in their framework is a value orientation at each level of leadership. Petrie and Burton claim that the technologies are available to help leaders acquire the necessary proficiencies to function effectively at each level. They suggest that supervisory training should provide for the acquisition of necessary technologies.

Huckaby proposes a framework for looking at and thinking about leadership. That framework identifies four categories of situational variables: people, role, task, and orientation. He argues that leaders must read situational variables more accurately and learn not to be controlled by them. Leadership styles, he states, must be selected with the awareness of the skills one has available and with the knowledge that behavior and decisions must be consistent with values.

Ritz and Cashell create an awareness of the importance of human skills in supervision. Glickman reminds the supervisor of the individual differences among teachers and urges that those differences be recognized as the supervisor responds to and works with individual teachers. Petrie and Burton and Huckaby suggest

that leadership skills can be learned and that leadership styles can be consciously and deliberately selected.

As the reader looks more closely at the articles, the following questions may stimulate thought and discussion. What can supervisors do to enhance interpersonal relationships with those with whom they work? What are the factors in the role of the supervisor that inhibit the development of positive interpersonal relationships? Is it possible, as Glickman proposes, for a supervisor to employ all three of the models of supervision (nondirective, collaborative, and directive) in the day-to-day interaction with teachers? How might a supervisor use the Petrie and Burton framework to assess his or her own level of leadership development? What are the implictions of the concept of style flex for the recommendations made by Huckaby?

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# "COLD WAR" BETWEEN SUPERVISORS AND TEACHERS?

## Teachers' ratings of the effectiveness of supervisors are strongly influenced by supervisors' interpersonal skills.

WILLIAM C. RITZ AND JANE G. CASHELL

According to Arthur Blumberg (1980), instructional supervisors believe that what they do has high value, but the teachers with whom they work find instructional supervision to be of little value. To what extent does the phrase "private cold war" characterize the working relationship between teachers and supervisors? Is the gap between their views as wide as "cold war" implies? How might instructional supervisors become more effective? These are among the key questions we addressed in a recent study of science supervisors in New York State.

Instruments for studying these issues were developed during our research over the past several years. We asked 143 science supervisors and 258 of their teachers to express their views on supervisory effectiveness by rating 26 formal and nonformal supervisory activities. Examples of formal activities included curriculum work, inservice workshops, and observation of classroom teaching. Nonformal activities included helping a teacher with a personal problem, facilitating interpersonal relationships among staff, and protecting staff from undeserved criticism.

We also asked them to rate the "group membership" status of the supervisors in order to compare their views on the quality of supervisors' relationships with teachers. For this survey, we used a modification of the "Person-Group Relationship Scale" (Felsen and Blumberg, 1973 a, b, c). From the two surveys, we were especially interested in exploring the relationship that might exist between group membership status and the supervisors' perceived effectiveness.

Our findings support the contention that supervisors and teachers hold different views regarding supervisory effectiveness and the supervisor's group membership status.

From our data, four factors influencing effectiveness emerged: instructional/intervening, interpersonal/supporting, management/planning, and socializing. Two additional factors regarding group membership were identified: attraction (how much the supervisor is attracted to membership with the faculty) and acceptance (how much the faculty accepts the supervisor as a member). These latter factors seem to correspond closely to the two dimensions of group membership described by Jackson (1959). When we computed an analysis of variance on all six factors, we found that teachers' and supervisors' views differed significantly on four of them: instructional/intervening, interpersonal/supporting, socializing, and acceptance.

With regard to the first factor, instructional/intervening activities (such as inservice workshops and co-teaching), supervisors rated themselves more successful than teachers rated them. On the second factor, interpersonal/supporting activities (such as helping teachers with personal problems, informal communications, and mediating conflict), teachers again rated supervisors as less effective than the supervisors rated themselves. However, regarding the third factor, socializing activities (involving teachers in social events or supporting faculty social events), the supervisors rated themselves much less effective than teachers rated them. Finally, on the fourth factor, acceptance in the faculty group (in terms of how truthful, argumentative, or friendly supervisors could be), the teachers gave the supervisors significantly lower ratings than the supervisors gave themselves as a group.

The second part of this study focused on trying to understand better the dynamics of effective supervision: What are the elements that make supervision in science effective? We hypothesized that supervisors who develop a relationship of "psychological membership" (having a high degree of attraction and acceptance) with their teachers are seen by teachers as more effective supervisors than those whose faculty relationships are less positive. To examine this notion, we employed canonical correlation analysis, a statistical procedure that searches for a principle to "explain" the relationship between two variables, which in this case are psychological group membership and supervisory effectiveness.

Our analysis identified two statistically significant correlations. The first relationship showed group membership accounting for some 39 percent of the variance in supervision effectiveness. The items from our instruments which best explain this relationship suggest that general interpersonal/communication behaviors are the source of this correlation. The second relationship, accounting for about 3 percent of the variance shared by the two instruments, is personal liking for the supervisor. It appears that the supervisor's group membership status strongly influences his or her perceived job effectiveness. Furthermore, it appears from this analysis that the supervisor's interpersonal/communication behavior can be changed to obtain more positive perceptions of his or her job effectiveness.

What do the results of this study say about the "cold war" between supervisors and their teachers? Is the gap between them as wide as the phrase implies? From our vantage point, "cold war" is too harsh, implying great tension just short of open conflict. That does not seem to be the case here; although tension was undoubtedly present, it existed at a fairly low level.

The science teachers and supervisors we studied did agree in their

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effectiveness ratings in a fair number of cases. Figure 1 displays the ten activities that both groups agreed supervisors did most effectively. Note that both groups felt the supervisors were most effective in dealing with supplies and equipment, activities of special significance in science teaching. Also quite impressive are the data indicating that both teachers and supervisors viewed supervisors as being supportive of creative ideas originated by teachers. This agreement does not characterize a truly cold war atmosphere.

In discussing perceptions of supervisor behavior and relationships, Blumberg (1980) stresses the need for "a balance between the energy devoted to the task itself and that devoted to the development of healthy relationships among the people working on the task." The ratings made by the teachers in this study indicate a fairly good balance (in terms of activities effectively accomplished) on the part of the supervisors. Certainly, several of the "top ten" activities are related to the development of productive relationships among the people involved, whereas others appear more clearly task-oriented. Again, these ratings are not indicative of a truly cold war atmosphere.

However, there were some key aspects of disagreement, especially in "interpersonal/communication" activities. We cannot ignore these differences, especially in view of the strong statistical relationship between this category and teacher ratings of supervisory effectiveness. Those activities through which supervisors enhance their group membership status also appear to result in more positive ratings of effectiveness.

If interpersonal/communication activities are so critical to enhanced teacher perceptions of supervisory effectiveness, what is there about the supervisor's role that makes this such a difficult area? Do some supervisors simply underestimate the potency of this aspect of their work? While most would undoubtedly say that people are important, they simply may not understand just how much their attention to interpersonal relationships influences the teacher's view of their effectiveness. "Busy-ness" may also be an important factor. The supervisor who is heavily involved in the whirlwind of "job description" responsibilities may find it burdensome to give much attention to interpersonal relationships. This would be especially true of those who have substantial teaching responsibilities.

One also has to wonder to what extent supervisors have been trained in the interpersonal/communications aspects of their positions. Certainly, only a few school districts provide newly-appointed supervisors with training for their responsibilities. Blumberg (1980) found that some 20 percent of the supervisors he studied "located the source of their problems in themselves, most typically in their feelings that their communications skills were inadequate."

One might also question the process through which supervisors are selected. Few school systems select instructional supervisors on the basis of their "people" skills; most supervisors move into their new positions as a result of demonstrated success in the classroom, which does not assure success as a supervisor. There is also the matter of rewards—to what extent do school districts provide incentives for supervisors to devote attention to the people aspects of their work? "Success" in the institutional sense is most often entirely linked to the formal responsibilities of supervision. Only the rare school district rewards a supervisor for his or her emphasis on interpersonal/communication activities.

In the long run, the most important factor may be found in the supervisor's job description itself. The very fact that the supervisor is called upon to evaluate teaching performance may cloud even the best efforts to develop a positive working relationship. If this is the case, the recent suggestion of an ASCD working group (Sturges, 1979) to separate *administrative* and *consultative* supervisory roles is especially important. By whatever means possible, however, it is essential that supervisors improve the interpersonal/communication aspects of their supervision.

**Figure 1.**
**Contrasting Top Ten Supervisory Activities Handled Most Effectively as Ranked by Science Supervisors and by Science Teachers**

| Ranking of Activity | Science Supervisors | Science Teachers |
|---|---|---|
| 1. | Activities relating to supplies/equipment | Activities relating to supplies/equipment |
| 2. | Supporting creative ideas originated by teachers | Consulting with administrators |
| 3. | Consulting with administrators | Informal communication and dialogue with staff |
| 4. | Curriculum activities | Supporting creative ideas originated by teachers |
| 5. | Informal communication and dialogue with staff | Protecting staff from undeserved criticism |
| 6. | Getting to know staff as individuals | Getting to know staff as individoals |
| 7. | Observation of classroom teaching | Curriculum activities |
| 8. | Mediating conflict between teachers and others | Helping a teacher with a personal problem relating to school |
| 9. | Protecting staff from undeserved criticism | Mediating conflict between teachers and others |
| 10. | Evaluation of teaching | Giving personal feedback relative to teaching performance |

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# THE DEVELOPMENTAL APPROACH TO SUPERVISION

## SUPERVISORS SHOULD RECOGNIZE STAGES OF PROFESSIONAL DEVELOPMENT AND TREAT TEACHERS AS INDIVIDUALS.

CARL D. GLICKMAN

Teachers within the same school have different perceptions of what is useful to them. A supervisor's plan for instructional improvement might be a delight to one teacher and a bore to another. Most supervisors can readily concur that their staff is not of one mind.

Considerable professional research has been undertaken to prove and chart what people have known for centuries: that human beings do not think alike. But *how* people think and the development of thinking processes has become a field of study in its own right. Piaget,[1] Bruner,[2] Smilansky,[3] Kohlberg,[4] and others document developmental stage changes from infancy to adolescence. There is a wealth of research on social, moral, cognitive, language, and emotional development. Researchers have found that as young people mature, they move at varying rates through a predictable sequence of stages. Studies on growth and development of the two hemispheres of the brain[5] provide further neurophysiological support for the gradual transition from thought that is egocentric, intuitive, and subjective to thought that is more social, rational, and objective. Attention to development has recently expanded to the adult years. Works such as *Passages*,[6] *The Seven Ages of Man*,[7] and *Life History and the Historical Moment*[8] suggest that people encounter common experiences at various stages of adult life.

The need to consider maturational levels of school personnel has been recognized in the situational leadership literature,[9] but research is just emerging on career-specific stages of teacher development.[10] The pilot work of Francis Fuller,[11] who studied beginning teachers and successful, experienced teachers, has contributed to the idea that the child development progression from egocentric to altruistic thinking recapitulates itself when adults enter a new career. Beginning stages of teaching are characterized by teacher concerns for their own adequacy. The question is largely, "Will I make it till tomorrow?" The teacher wants to be shown

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***Jean Sorrell is a third-year teacher at Highton School. She is young and enthusiastic, constantly involved with her students, providing activities and materials, and asking other teachers for ideas.***

◆◆◆◆◆◆◆◆◆◆◆◆

***Regina Norton has begun her eighth year at Highton. Students, parents, and faculty see her as a stalwart, committed, and exceptional teacher. Other teachers come to her often for advice, and she goes out of her way to help others.***

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***George Halsom is also a third-year teacher at Highton. He often appears confused about how to manage and organize the classroom to avoid disruption. He is quiet and stays to himself. Rarely does he initiate conversations with other staff members. At the end of the day he quickly gathers his materials and leaves for home.***

◆◆◆◆◆◆◆◆◆◆◆◆◆◆◆◆◆◆◆◆

***Wednesday morning, the supervisor announces to the staff that their third in-service session on new arithmetic materials will be held after school. All of the teachers know they are to attend but their reactions to the workshop are varied. Jean Sorrell shrugs her shoulders and thinks, "I hope that I can learn some new activities." George Halsom frowns and thinks "another wasted afternoon." Regina Norton thinks "I already know the material to be explained; my time could be better spent working on the school curriculum or helping Judy with her new science center."***

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"a bag of tricks" for survival. Later, as the teacher becomes more secure, concern moves from one's self to one's students. The question then becomes, "Now that I can survive, how can I contribute more to the welfare of my students?" The teacher desires to seek out resources, share ideas, and become involved in tasks that will refine and expand educational opportunities for students. The logical conclusion of this sequence is the outstanding teacher who eventually moves away from self-concerns to concerns for improving one's classroom to concern with one's school and profession as a whole. The teacher clearly knows his or her competencies, knows where to seek resources and feedback, and desires to help other teachers and students improve education for the collective group. This simplified notion of teacher development is shown in Figure 1.

Let's return to the vignettes. Viewed in a developmental context, Jean Sorrell is largely in Stage II, George Halsom in Stage I, and Regina Norton in Stage III. Naturally, stages are not all-inclusive and there is overlap from one to the next, as well as the possibility of regression when obstacles become too great. But using this simple framework for discussing Jean, George, and Regina, we find three individuals with contrasting concerns within the same school. In order for a supervisor to work effectively with each teacher, the supervisor needs to be knowledgeable about differing approaches to instructional supervision.

**Figure 1. Simplified Stages of Teacher Development**

| | | | |
|---|---|---|---|
| Thought | Egocentric | → | Altruistic |
| Concern | Self adequacy | Classroom | Other students and teachers |
| Stage | I | II | III |

## Models of Supervision

The various approaches to supervision can be grouped in three somewhat simplified models, categorized as nondirective, collaborative, and directive.[12] Nondirective models advocate that the supervisor be a listener, nonjudgmental clarifier, and encourager of teacher decisions. Collaborative models advocate that the supervisor be equal with the teacher, presenting, interacting, and contracting on mutually planned changes. Directive models propose that the supervisor be the determiner and enforcer of standards of teacher behaviors by modeling, directing, and measuring proficiency levels.

## Matching Models of Supervision to Stages of Teacher Growth

With an understanding of models and simplified stages of teacher growth, some broad matches can be made. Teachers in Stage I, concerned with self-survival, might profit most from the directive model. Teachers in Stage II, who are concerned with improving the learning environment for their students, might be approached using the collaborative model. Teachers in Stage III, who are concerned with helping other students and teachers, may need only the minimal influence of the nondirective model.

In describing how our three teachers might be treated in accordance with the models, the focus will be on instructional improvement and in-service education, but the same application could be made for classroom evaluation, curriculum development, organization for staffing, or other supervisory functions.

Teacher George Halsom is barely "hanging on." Students are continually frustrating him and discipline problems are keeping him from the job of teaching. The supervisor needs to be concerned with George's survival. George needs explicit, detailed help. It would be proper for the supervisor to demonstrate or model for George how discipline might be enforced. He might actually take over the class for awhile and have George observe, or he might arrange for George to sit in on another teacher's class where discipline is well controlled. The supervisor could then detail for George the type of changes that need to be made by going over classroom rules, enforcement policies, reward and punishment consequences, and verbal and nonverbal teaching behaviors. The supervisor could also set up a two-week performance period during which George might focus on one factor (for instance, clearly explained and enforced rules) and keep records of the number of disturbances encountered. A 25 percent decrease in "acting out behaviors" might be set as the goal for those two weeks.

The supervisor would behave quite differently with Jean Sorrell. Recognizing that Jean wants to continually improve learning activities for students, the supervisor would approach her as a colleague. They would come together to set future directions for improvement. The supervisor would first observe what activities were currently used and how students were responding to them. After the observations were reported, the supervisor would discuss with Jean whether her observations were similar to those of the supervisor. Based on the sharing of observations, a common direction for improvement would emerge (for instance, the need for fewer reading materials in the science enrichment center). Together they would write

**Figure 2. Supervisory Behavior Continuum**

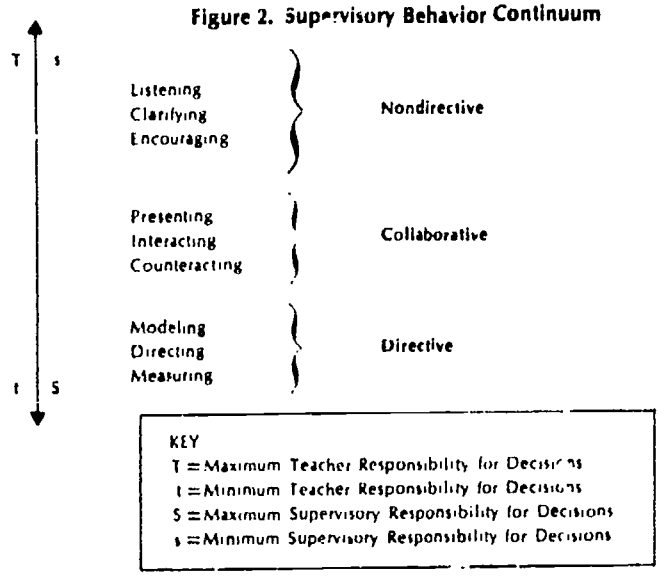

**Figure 3. Matching Models with Teacher Stages**

| Teacher Stage | Self Adequacy | Classroom | Other Students and Teachers |
|---|---|---|---|
| Supervisory Model | Directive | Collaborative | Nondirective |
| Predominant Supervisory Behaviors | Modeling<br>Directing<br>Measuring | Presenting<br>Interacting<br>Contracting | Listening<br>Clarifying<br>Encouraging |

out a contract that described classroom changes to be made by Jean, resources to be gathered by the supervisor, and future assessment to be made by both.

The supervisor must take still another direction in working with Regina Norton. She must acknowledge that Regina has superior teaching skills that at least match the supervisor's own teaching abilities. Regina mainly needs support in determining her own growth. The supervisor might listen to Regina discuss the perceived needs of students, teachers, and herself. Her thinking could be extended by asking questions for clarification. Finally, the supervisor might encourage her to put thinking into action. For example, Regina might believe that her students and most other students do not have enough reading materials at home to supplement reading in school. The supervisor would ask her to elaborate and she might describe how, on home visits, she sees almost no reading materials; children spend most of their time in front of the television. The supervisor would encourage her to consider what might be done. If Regina thought a home lending library might be a possibility, the supervisor would encourage her to discuss this proposal with other teachers in the school.

It is apparent that a supervisor might better serve his or her staff by responding to individual needs instead of using a single, uniform approach. Spending time directing and guiding Halsom toward classroom management improvement, collaborating with Sorrell on changing instructional materials, and allowing Norton to pursue a home lending library is ultimately more productive than having them all attend an after-school meeting that is useful to only a few. At times a staff will have common needs and can be approached as one group. In most cases, however, the professional supervisor should use varying approaches to treat teachers as individuals. ■

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[2] Jerome Bruner and others, *Studies in Cognitive Growth* (New York: John Wiley, 1966).

[3] Sara Smilansky, *The Effects of Socio-Dramatic Play on Disadvantaged Pre-School Children* (New York: John Wiley, 1968).

[4] Lawrence Kohlberg, "Stage and Sequence: The Cognitive-Developmental Approach to Socialization" in *Handbook of Socialization Theory and Research*, ed. D. Goslin (Chicago: Rand McNally, 1969).

[5] M. C. Wittrock, "Education and the Cognitive Process of the Brain," in *Education and the Brain*, 77th NSSE Yearbook, Part II (Chicago: Chicago Press, 1978).

[6] Gail Sheehy, *Passages* (New York: Dutton, 1976).

[7] Robert R Sears and Shirley S. Feldman, eds., *The Seven Ages of Man* (Los Altos, Calif.: William Kaufman, 1973).

[8] Erik H. Erikson, *Life History and the Historical Moment* (New York: W. W. Norton, 1975).

[9] See Phillip E. Gates, Kenneth H. Blanchard, and Paul Hersey, "Diagnosing Educational Leadership Problems: A Situational Approach," *Educational Leadership* 33 (February 1976): 348-354; and Gordon Cawelti, "Selecting Appropriate Leadership Styles for Instructional Improvement" (Alexandria, Va.: Association for Supervision and Curriculum Development, 1976). (Videotape).

[10] For examples, see Anthony F. Gregorc, "Developing Plans for Professional Growth," *NASSP Bulletin* 57 (December 1973): 1-8; Thomas A. Petrie and Inez A. Petrie, "The Preparation of Administrators: Some Observations from the Firing Line" (University of Nebraska-Omaha, January 1977); Katherine K. Newman, "Middle-Aged Experienced Teachers' Perceptions of Their Career Development," paper presented at the American Educational Research Association in San Francisco, 9 April 1979; and Gene E. Hall and Susan Loucks, "Teacher Concerns as a Basis for Facilitating and Personalizing Staff Development," *Teachers College Record* 80 (September 1978): 36-53.

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# Levels of Leader Development

Thomas A. Petrie and Barry Burton

*Leaders develop through five levels, each of which involves use of certain supervisory technologies devised from a developmental model.*

Programs for the preparation of supervisors may include psychological and sociological theories, teaching methods, or administrative systems that are unrelated or even contradictory. To be effective, supervisors must select methods, materials, and techniques appropriate to their situation from an array of potentially powerful alternatives, but they often have no way to evaluate various approaches systematically. They need a framework and criteria that will enable them to capitalize on the increasingly rich storehouse of available resources. To meet this need we have devised a developmental model for ordering supervisory technologies.

According to developmental literature, growth follows an invariant sequence which may be facilitated by parents, teachers, supervisors, and others. We believe that leader development follows a similar pattern. That is, leadership may be conceived of as a sequence of five levels of activity which are cumulative and increasingly elaborate. They are (Figure 1, column a): (1) patterning routines; (2) establishing rules and delegating roles; (3) reinforcing relevant activities; (4) stimulating individual development; and (5) clarifying behavioral indicators of values.

These five levels of leadership were analyzed to determine tasks associated with each level and the technologies available to help leaders acquire the necessary proficiencies. Figure 1 shows representative

Figure 1. Levels of Leadership and Related Educational Technology

| Level of Leadership | Supervisor Technology | Teacher Technology | Criteria | Values |
|---|---|---|---|---|
| 1. Patterning routines | Time management<br>organization | Lesson planning<br>organization | Efficiency | Trust<br>Causality<br>Hope<br>Order |
| 2. Establishing rules and delegating roles | Rules for coordination<br>Teaching skills<br>Job description<br>Assessment<br>Orientation | Rules for coordination<br>Learning processes<br>Teaching skills<br>Curriculum materials<br>Diagnosis, prescription | Coordination | Cooperation<br>Responsibility<br>Autonomy<br>Stewardship |
| 3. Reinforcing relevant activities | Evaluation<br>Hygienic motivation<br>Policies<br>Pay | Evaluation, testing<br>Extrinsic motivation<br>Praise | Motivation | Purpose<br>Discipline<br>Initiative |
| 4. Stimulating individual development | Job enrichment<br>Program development<br>Critical thinking<br>Clinical supervision | Goal setting<br>Using student ideas<br>Inquiry<br>Problem solving | Development | Competence<br>Industry |
| 5. Clarifying behavioral indicators of values | Value clarification | Value clarification<br>Moral development | Articulation | Integrity |

technologies associated with each level, the criteria the leader uses to select technologies, and the values that govern their selection and use.

### Level One: Patterned Routines

*Establishing the patterned routines* attached to a leadership role (level one) is accomplished by organization of time, space, resources, technology, and personnel. In educational supervision, this involves technical competence in time management, organization of resources (including space and people), and handling an enormous amount of detail. Matters are facilitated through efficient management, reflecting the values of order, causality, and hope.

For example, an effective supervisor must manage teacher conferences, provide resources, and conduct meetings. Each of these responsibilities—making telephone calls, confirming appointments, writing memorandums, analyzing observations, planning conferencing strategies, formulating meeting agendas, arranging for coffee—demands time and resources. A multitude of other details reflect the need for efficiency and the values of trust and causality. Supervisors may do these things themselves or delegate them to secretaries, but they are responsible for seeing that the tasks are done. Otherwise, people will consider the purposes of the conference, the timeliness of the resource, or the function of the meeting to be unimportant. If routine matters are not handled with sensitivity and dispatch, trust is destroyed, relationships disintegrate, and those involved fail to get on to more important things.

### Level Two: Rules and Roles

Once the leader establishes credibility by competently performing basic routines, he or she is in a position to *delegate roles* and *specify the rules* necessary for coordination (level two). Clarity of rules and precision in job descriptions contribute to staff coordination and enable teachers to exercise autonomy in the classroom. If expectations are not clear, the ambiguity needs to be resolved. Leadership on this level involves comprehending what teachers and others ought to do, what they should decide, and how they should feel. Often the supervisor develops job descriptions, assesses candidates, and orients those selected. This in turn requires some understanding of basic teaching technologies. The supervisor who knows teaching methods is in a position to coordinate teaching specializations and to develop the values of cooperation, responsibility, stewardship, and autonomy.

An excellent technology of teaching currently exists and can be learned. Proficiency in the skills of informing, explaining, questioning, use of student ideas, use of informal reading inventories, and clarifying responses prepares any teacher to function more effectively with a broader range of children. Rosenshine identified 11 skills related to student achievement; Louis Raths identified ten components of teaching. These and other instructional skills are worthy of serious attention if supervisors are to orient teachers and help them grow in competence—that is, to exercise level two leadership.

### Level Three: Reinforcement

As supervisors accomplish level two tasks and coordinate the efforts of teachers and other staff members, they may also use the evaluation system to

## Skills of Educational Managers
## Deborah King Pugh

Effective educational managers must be able to:

- *Forecast the future.* Looking at legislation, revenue sources, changing demographic patterns, and other data, managers must be able to predict what conditions will be like a year ahead and five years ahead. Is the neighborhood changing? Is enrollment decreasing or increasing? How will staff changes affect programs? What must be done to help students prepare for the future?
- *Plan.* Planning includes setting both long and short range goals. Realistic targets and corresponding plans of action lead to high achievement. Plans must be flexible and include alternatives.
- *Communicate.* Managers must take time to know their staff, to develop a common set of understandings and expectations.
- *Organize.* Educational managers must assign responsibilities, matching persons to programs and available resources, so that everyone knows who is doing what, where, and when.
- *Delegate.* Managers cannot do every task, so they must direct and delegate. They search for staff strengths, provide coaching and counseling, and see that staff members are trained for new responsibilities. The result is not only increased effectiveness of staff members, but also improved attitudes and personal confidence that come with professional growth.
- *Establish and maintain control.* Effective managers develop a feedback system that enables them to correct problems before they get out of hand and to know at all times what progress is being made.

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motivate members who contribute to purpose (level three). The leader should be able to *reinforce relevant activities* by controlling pay, conditions of work, and use of verbal praise, or by administering sanctions when things go awry. This requires the ability to evaluate. Objectives, conditions, and standards of performance must be identified.

At the present time, both the literature and practice in schools reflect considerable ambiguity about the supervisor's evaluation responsibilities, but the capacity to identify objectives, analyze the logic and adequacy of planning, observe and transcribe instructional performance, and confer with teachers are necessary tasks in order to reinforce relevant activities. As supervisors evaluate instruction and influence the reward system, they become a primary source of extrinsic motivation. If they do not have evaluation skills, then the process of shared planning, classroom observation, and conferencing becomes a ritual and motivation is destroyed.

### Level Four: Individual Development

The sequence of leadership thus far described has suggested that supervisors attend to routines, establish rules, delegate roles, and reinforce relevant activities. These are all desirable and necessary efforts to sustain the organization. As they occur, special talents of individuals emerge and the leader begins to focus on *stimulating individual development*. At this point, job enrichment and program development become possible. The program and the organization can begin to grow by employing unique talents of teachers.

Level four is distinguished from leadership at level two by the emphasis on individual development. At level two, certain fundamental teaching skills are expected of all teachers. They are prescribed when the supervisor orients the members, and reinforced when evaluations are made. But when the supervisor enriches a job description by incorporating a teacher's special skills or talents, he or she is functioning at level four. Other examples of level four functions, include encouraging advanced personnel to learn new concepts and processes and stimulating individuals to go beyond minimum expectations. Individual and organizational development cannot be dictated; they build upon individual proficiencies and people's willingness to use them.

Professional literature describes the supervisor's responsibility for program development or innovation, but it may be impossible for a staff to profit from innovations. If a school's routines are capricious and arbitrary, if there is no agreement about the basic skills of teaching, and if evaluation is not related to job descriptions, innovations only add to the confusion. Both program and individual development flourish when they emerge from articulated and efficient routines, mutually understood rules, coordinated relationships, and evaluations that logically sustain the motivation of the membership.

### Level Five: Values

Leadership at level five integrates performances into a more powerful, functional, and differentiated organization. Leaders working at this level unite individual capabilities and role expectations by appealing to *explicitly held values*. For example, a supervisor may suggest general praise, specific praise, and use of student ideas as instructional technologies to replace certain negative teacher behaviors. Appropriate use of praise capitalizes on the child's need for approval and provides extrinsic motivation. It motivates the student to accept responsibility for personal learning and reveals that the school staff values achievement and respects individuals.

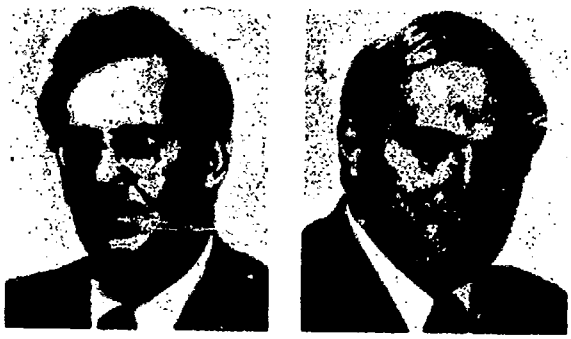
Use of student ideas is consistent with the view that learning is an interactive process which reflects competence and is intrinsically worthwhile. The leader must know not only the technical effects of praise and use of student ideas, but also the values exemplified by habitual use of these teaching skills.

### Leadership Increasingly Complex

Each level of leadership is both more complex and more difficult to achieve than lower ones. At each level, certain skills are required. Trainers of super-

Figure 2. Sources of Technologies

| | Technologies | Contributors |
|---|---|---|
| 1 | Patterned routines | |
| | Managing time | Peter Drucker (1974) |
| | Organizational expertise | Thomas Petrie (1972) |
| 2 | Establishing rules and delegation | |
| | The gift is given (Skill training manual) | Margaret and Douglas Rector (1974) |
| | The process of schooling | John Stephens (1967) |
| | Teaching for learning | Louis Raths (1966) |
| | Developmental teaching skills | Thomas Petrie (1977) |
| | Mini-courses | Walter Borg (1970) |
| | Research in teaching | Robert Soar (1978) |
| | Job descriptions | George Redfern (1964) |
| | Recruitment and orientation | George Redfern (1964) |
| 3 | Reinforcing relevant activities | |
| | The continuum of educational evaluation | Robert Stake (1967) |
| | Clinical supervision | Robert Goldhammer (1969) |
| | Objective marketplace gains | Tom Kepner and Lanny Sparks (1972) |
| | Hygienic motivation | Frederick Herzberg (1964) |
| 4 | Stimulating individual development | |
| | Job enrichment | Frederick Herzberg (1964) |
| | Program development | John Goodlad (1975) |
| | Clinical supervision | Robert Goldhammer (1969) |
| | Critical thinking | Louis Raths (1967) |
| | Goal setting | Gordon Lippitt (1969) |
| | Thinking and teaching | Louis Raths (1967) |
| | Organizational renewal | Gordon Lippitt (1969) |
| 5 | Clarifying behavioral indicators of values | |
| | Value clarification | Louis Raths (1966) |



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visors may be able to use the structure we propose to help them identify and organize the technologies appropriate for each level. Figure 2, for example, illustrates selected technologies that contribute to learning the interdependent roles of supervisor and teacher.

Because value orientations also differ at each level, trainers must consider them as well. The *skills* of teaching, budgeting, and staff recruitment are certainly necessary, but equally necessary are *values* of autonomy, purpose, initiative, competence, and integrity. In short, methods and materials should not only contribute to proficiency at each level but should be congruent with value orientations at those levels.

## Summary

The model we have developed appears to be a useful device for assuring that training programs for supervisors include materials and experiences at each of the five levels of leadership. Supervisors themselves may also be able to use the guide to assess the level of their own leadership and to classify and select educational technologies that will contribute to their further development.

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William O. Huckaby


Photo: NEA, Joe DiDio

# Integrating Style and Purpose in Leadership

*Approaches to leadership should be more comprehensive than most of the current situational models, yet simple enough to be easily understood and applied. A combination of elements from prominent leadership models may be the answer.*

In an article in *Educational Leadership* [March 1979], Thomas Sergiovanni criticized situational leadership models like the one proposed by Hersey and Blanchard for being "too simple" and encouraged "greater effort in capturing more fully the complexities of leadership effectiveness." Although Sergiovanni supported the situational or contingency approach to leadership as a definite improvement over those that prescribe a single leadership style as always effective, he expressed serious reservations about some of the training programs based on these models.[1]

In spite of finding considerable merit in many of these leadership models, I share the concerns expressed in Sergiovanni's excellent article. We need a more comprehensive approach that links the "instrumental or managerial aspects of leadership . . . with the more substantive aspects of leadership."[2] We cannot promote superficial, unrealistic strategies that produce leaders skilled in moving people in directions that have no meaning and that change indiscriminately and without purpose.

Attempts to develop a comprehensive perspective should not overlook the appeal of the simpler models: they are logical, easy to visualize and understand, and almost immediately applicable in the educational organizations where most of us work. Critics who advise us that the simple models have missing pieces, but do not suggest where and how they fit, do not contribute to the creation of unified perspective. The developers and promoters of the simple models, on the other hand, may avoid introducing elements that do not fit neatly into their models and training programs.

As a participant in the leadership exploration that Sergiovanni encourages, I will propose an approach to leadership that is more comprehensive than most of the current situational models, yet simple enough to be easily understood and applied. This approach offers no new techniques or gimmicks, but neither does it introduce any new language or concepts. It provides a framework for looking at and thinking about leadership and represents an attempt

[1] Thomas J. Sergiovanni, "Is Leadership the Next Great Training Robbery?" *Educational Leadership* 36 (March 1979): 388-94.

[2] Ibid., p. 394.


Figure 1. Situational Variables in an Organizational Setting

to link the instrumental and substantive components. My presentation will call attention to the relationship among three prominent situational leadership models and some important elements that they do not fully address.

## Situational Variables

Situational models are based on a recognition that the appropriateness of any leadership style depends on the extent to which it is suited to the situation in which it is employed. While agreeing that each situation is unique, each model specifies different sets of relevant variables. Hersey and Blanchard focus on one variable (maturity of the follower), Fiedler on three, and Reddin on five.[3] Each model presents a simplified picture of reality by drawing attention to only a limited number of situational variables. Such simplification is highly appropriate since few of us are capable of understanding and analyzing every factor that contributes to the uniqueness of a given situation. There is no reason for leadership trainers to deny the existence of other variables. Those who imply that all situational variables are included in their models are either dishonest or misinformed. They are not oversimplifying reality but misrepresenting it.

The situational variables proposed by Reddin, Hersey and Blanchard, and Fiedler, as well as most of those identified by writers who do not claim to be situationalists, can be clustered into four major categories: *people, role, task,* and *organization.* These categories and some of the variables they include are depicted in Figure 1.[4]

Effective leaders recognize that the more superficial the diagnosis of situational variables, the less it will contribute to sound decision making. Upon assuming a new role within an organization, they thoroughly analyze the situation and then bring this general awareness to bear on specific decisions to be made while serving in that role. Even though varying circumstances may call for some behavior changes, they do not treat each encounter as an isolated event and attempt to continually alter their leadership styles accordingly.

Less effective leaders make decisions after quickly reviewing limited data and concluding that nothing else matters. They are likely to "buy into" a single, limited model and then make every encounter "fit"—instead of reexamining the appropriateness of their model of reality. Attempts to alter leadership style become a full-time preoccupation.

## Decision Making

Selecting a leadership style is a form of decision making that includes electing to exercise leadership and determining the type of leadership that is appropriate. Although we discuss the process of selecting a leadership style, is that what actually occurs? Do we consciously say at one time, "Now I will exercise leadership," and at other times choose to exercise what we would classify as supervision, management, or administration? Probably not—we usually choose our behavior with no regard to classification and often without the opportunity to sit down and carefully examine the options at our disposal. Whether or not we classify our behavior or consciously examine the contributing factors, our decisions reflect our knowledge and values, as well as our perceptions (awareness) of situational variables (see Figure 2).

Photo: NEA, Joe DiDio

[3] For a more complete treatment of each model, see: Paul Hersey and Kenneth Blanchard, *Management of Organizational Behavior: Utilizing Human Resources,* 3rd ed. (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1977); Fred E. Fiedler, *A Theory of Leadership Effectiveness* (New York: McGraw-Hill, 1967); William J. Reddin, *Managerial Effectiveness* (New York: McGraw-Hill, 1970).

[4] Some of the variables listed have overlapping definitions and most terms have specialized meanings. Most of these concepts are presented in introductory texts for educational administration and supervision.

## Values

Sergiovanni argues that leadership trainers often "overemphasize *how* one accomplishes something, seriously neglecting questions of value, mission, and worth."[5] When carried to an extreme, this neglect leads to behavior comparable to that exhibited by John Dean in his capacity as Richard Nixon's advisor. Dean, according to his public account, increasingly suppressed most of his own stated values until a single situational variable, the expectations of his superior, guided all of his actions. Until Watergate, he was seen as a successful young man with a bright future. Although not fully conscious of the value judgments being made, his behavior reflected minimal concern for some of his values relative to honesty, professional ethics, and service to his country.

It is impossible for educational leaders to make decisions, including choices of leadership style, without making value judgments. Value is assigned to situational variables by considering one variable to be more important than others. By placing all situational demands ahead of their own standards, leaders abdicate their responsibility for the more substantive aspects in favor of the instrumental aspects alone. Leadership trainers neglect their responsibility to the educational profession if they suggest that leadership styles be selected solely on the basis of situational demands. Decisions must be based primarily on the purposes to be achieved—with an awareness of the situational implications for leadership behavior.

## Knowledge

In the cognitive realm, leaders consider what they know or believe to be true about leadership and human behavior (for example, the effects of various leadership styles in different situations and the factors that motivate particular behaviors). Situational leadership models provide knowledge in the form of conceptual tools that assist leaders in understanding the relationship between certain situational demands and leadership effectiveness. Knowledgeable leaders possess many tools and have the ability to employ them appropriately. In one instance they might draw on Hersey and Blanchard by recognizing that the high maturity of the followers indicates the need for a low task/low relationship style of behavior.[6] In a different situation they might rely on Fiedler by noting the favorableness of a situation (good leader/member relations and high position power and task structure) and seeing the appropriateness of a high task style.[7]

Leaders also base decisions on self-knowledge—what they know or believe to be true about themselves. They only select leadership styles they think they can exhibit. Leaders with low self-knowledge, especially in the form of unrealistic estimates of their skills and flexibility, are likely to make decisions that cannot be carried out. Effective leaders are aware of their limitations and do not attempt leadership styles requiring skills they do not possess.

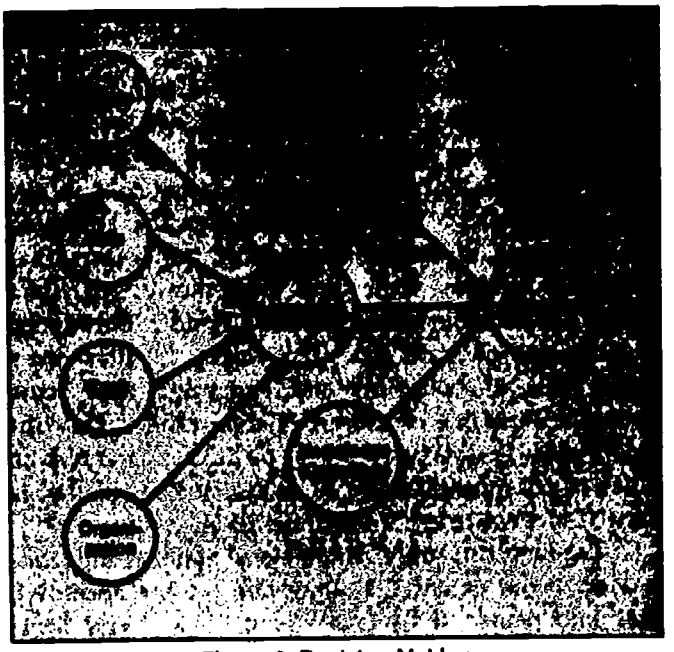

Figure 2. Decision Making

## Awareness

Accurate perceptions of situational variables are necessary for making sound decisions. This awareness is a key factor that is often given only superficial attention. Leaders can only respond to what they perceive to be true about situational variables, and these perceptions are subject to error. A superior's expectations may not always be clearly stated. Followers do not wear labels indicating their maturity levels. Legitimate authority in education organizations is often unclearly defined. Learning the implications of maturity level for leadership style is much easier than learning to recognize maturity in other people. Assessing actual position power requires more than simply reviewing a job description. Leaders must develop skill in accurately reading situations if their knowledge is to be correctly applied. When perceptions are inaccurate, the resulting behavior is likely to be inappropriate.

[5] Sergiovanni, "Is Leadership the Next Great Training Robbery?," p. 389.

[6] See Hersey and Blanchard, *Management of Organizational Behavior*, chapter 7.

[7] See Fiedler, *A Theory of Leadership Effectiveness*; or Fred E. Fiedler, "Responses to Sergiovanni," *Educational Leadership* 36 (March 1979): 394-96.

### Decisions→Behavior

To what extent are leaders able to translate decisions into behavior? Can they exhibit whatever leadership style they choose? Sergiovanni suggests that most of us can only make modest adjustment in our leadership styles.[8] Fiedler believes that the ability to change styles is limited because of the factors that motivate leaders: some are task motivated while others are relationship motivated.[9] Reddin introduced the concept of style *flex* (the ability to alter one's basic style of behavior) and suggested that some people are capable of more flex than others. He considers this flexibility to be a positive characteristic when used appropriately; however, too much flex is seen as inconsistency, too little as rigidity.[10]

Leaders can only translate decisions into behavior to the extent that they possess the necessary task and people skills (see Figure 3), and any flexibility is limited by the level of skills that can be applied in a given situation. For example, leaders who are efficient organizers (a task skill) might be flexible enough to behave with a low task orientation by allowing the organizational structure for a task to emerge from within a work group. Leaders with poor organizational skills, however, cannot be flexible enough to provide efficient organization when a situation calls for it.

Although great flexibility may not be a prerequisite for effective leadership, limited flexibility is a serious probem for leaders with low self-knowledge. The high task/low people leader who correctly recognizes the need for a low task/high people style and attempts to behave accordingly will be ineffective if the necessary people skills are lacking. Those who attempt leadership styles requiring skills they do not possess are generally seen as either insincere (because behavior is erratic and out of character) or incompetent (because good intentions are not coupled with the ability to act upon them). Effective leaders do not attempt leadership styles of which they are not capable even if the situation demands such a style. Instead, they will try to alter the situation so that their own style will be more appropriate.

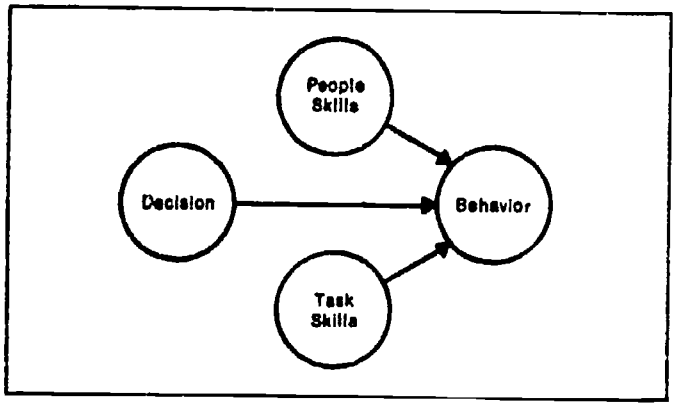


Figure 3. Translating Decisions into Behavior

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The educational leader who "can't put theory into practice" is usually the individual who understands leadership and human behavior on a conceptual level but who lacks the skills necessary for translating that knowledge into behavior. Consider, for example, the chairperson of a department of educational administration who cannot effectively administer departmental activities or the instructional methods teacher who lectures to a room full of disinterested students on the ineffectiveness of lecturing as an instructional technique.

### Recommendations

Educational leaders have much to gain from training programs based on situational models like those proposed by Fiedler, Hersey and Blanchard, and Reddin. They have pointed to the important effect of situational variables on the appropriateness of a leader's behavior; identified several significant situational variables; and provided insight into the type of leadership that is effective under certain conditions.

If these models are to be of maximum benefit to the educational profession, we should treat them as conceptual tools that must be used wisely and carefully, knowing what they can and cannot do for us. To maintain a constructive perspective, we must answer for ourselves the questions not addressed by the models and develop the level of awareness that is necessary to make the models work for us when we do need them. We must learn to read situational variables more accurately and, at the same time, learn not to be controlled by them. Leadership styles must be selected with an awareness of the skills that are (and are not) at our disposal. Most of all, our decisions and behavior must be consistent with our values and shaped by our sense of mission and purpose. EL

[8] Sergiovanni, "Is Leadership the Next Great Training Robbery?," p. 394.

[9] Fiedler, "Responses to Sergiovanni," p. 395.

[10] See Reddin, *Managerial Effectiveness*, chapters 20, 21, and 22.

## Topic E

# Supervisory Techniques for Planning and Managing Educational Programs

IN ADDITION TO THE ALL IMPORTANT HUMAN SKILLS required for quality leadership, supervisors need skill in planning and managing educational programs. Planning, according to Sergiovanni, is "the articulation of purpose into concrete and long-term operational programs." (See Sergiovanni's article in Topic A.) He includes such techniques as management by objectives, the specification of short-term outcomes or results, and various scheduling devices such as Gantt charts and PERT (Program Evaluation Review Technique) as tactical requirements for quality leadership but cautions that they must be only the tools for a comprehensive plan.

Worner, in his article in Topic B, cites the need for such technological skills as systematic planning techniques, decision-making models, and computer technology, and he includes these in the list "basic survival skills" for supervisors. Unruh also stresses the need for "developing skills of planning, including responsibilities for shared leadership in establishing directions, goals, and priorities." Without these skills, she cautions, supervisors may find themselves becoming obsolete. (See Unruh's article in Topic C.)

Articles selected for this section represent some of the techniques that should be a part of the supervisor's repertoire of "prerequisites" for basic leadership competency (to use Sergiovanni's terminology). From the articles available, the ones presented in this section seem to be the most useful in calling attention to the variety of techniques needed by supervisors in planning and managing educational programs.

Doherty and Peters present concepts of goal-based planning and evaluation. They define three types of goals—educational, support, and management—and they differentiate among them. They discuss and illustrate the use of educational goals at four levels of organization—system, curriculum, course, and daily instruction. Practitioners will find helpful the matrix showing the goal-based planning and the related process for evaluation for each of three organizational levels—system, school, and classroom. Students of supervision will appreciate the efforts of Doherty and Peters to bring order and logic to the terminology of goal-based planning and evaluation.

Gray and Burns raise the question: Does management by objectives (MBO) work in education? They point out differences between educational systems and other organizational systems in which MBO has been used, and identify factors that affect the success or failure of it. After summarizing the elements of a "good MBO system," Gray and Burns conclude that management by objectives holds great potential as a management tool for educational systems.

Hartman proposes the use of the Delphi Technique as a forecasting tool for long-range educational planning. She reports an example of how she used a modified Delphi Technique in her school system in Paramus, New Jersey, to resolve conflict surrounding a curriculum program for gifted and talented students. An addition to the basic article by Hartman briefly describes the origin and use

of the Delphi Technique; that description has been contributed by Lewis Thomas. Readers interested in using the technique as Hartman describes it will be helped by her inclusion of sample statements from the two questionnaires she used for Phase 1 and Phase 2 of the Delphi Technique.

The Time Management Ladder presented by Sexton and Switzer is intended for the supervisor's personal use. The Time Management Ladder has three levels of functions. By following the rules of time management, the authors feel that principals and supervisors can move quickly through level #3, "Maintenance Functions," and level #2, "Critical/Crisis Functions," and then to level #1, "Professional Goal Functions," where as much time as possible should be spent. Time-conscious supervisors and other readers will not find the "rules of time management" new, but may be stimulated to try the suggestions for keeping a weekly time management log or for using the checklist to avoid the commonly recognized time-wasters. Likewise, they may wish to try the Delphi Technique or Hartman's modification of that approach.

The following questions direct the reader to the articles. At what levels and with what degrees of responsibility should supervisors be involved in the goal-based planning process described by Doherty and Peters? What are the strengths and weaknesses of Management by Objectives as a management tool in educational settings? What are some specific examples of instances where supervisors could profitably employ the Delphi Technique? Accepting the "distinction between true educational leaders and others" as presented by Sexton and Switzer, how would you classify yourself and the other supervisors with whom you have been associated?

# GOALS and OBJECTIVES

VICTOR W. DOHERTY AND
LINDA B. PETERS

Of the many aspects of school system planning and evaluation, perhaps the most critical and elusive is that of goals and objectives. Until the aims of a school system are stated and evaluated, there is no way of telling how well the system is performing its mission—or even knowing what its mission is.

Much of the confusion about goals and objectives results from the endless variations in style, content, and level of generality of such statements. Differentiating types of goals according to the functions of a system can help reduce this confusion.

There are essentially three kinds of functions in a school system: management, which controls all functions of the system including itself; instruction, for which the system exists; and support, which services the management and instruction functions. All organizational elements of a school system can be classified as serving primarily one of these three functions.

We use the term *program goal* to mean "desired outcome of a program," regardless of its function. The types of outcomes produced by programs are quite different, however. *Management* outcomes relate to control of the organization. *Educational* outcomes are student learnings. *Support* outcomes are services that support management, instruction, or the system generally. To designate these different types of outcomes, we use the terms *management goals, educational goals,* and *support goals.*

Educational goals also require different levels of generality at various levels of planning. We suggest the terms *system goal, curriculum goal, course goal,* and *instructional goal.*

We shall define each of these terms in more detail, but first we should explain how we use the word "objectives." Because "management by objectives" implies that program change will result from the setting of objectives and the allocation of resources to achieve them, we reserve use of the term *program change objective* for statements of intent to change program elements in specified ways to improve their effectiveness and efficiency. Such statements should consist of explicit plans for effecting improvement, including costs, timelines, and goals (outcomes) the change is intended to influence.

### Types of Goals

*Educational program goals.* As mentioned earlier, an educational program goal is a statement of *what is to be learned by students* as a result of an educational program. Four levels of educational goal statement are required for school system planning: system, curriculum, course, and daily instruction. There is no difference in the essential character of an educational goal at these different levels—only a difference in specificity.

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Curriculum developers will avoid confusion if they use "goals" to describe outcomes, regardless of planning level, and "objectives" to state intended changes.

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Use of the term "goal" to describe educational outcomes at all planning levels avoids the confusion that for years has attended efforts to teach and learn distinctions among terms like purposes, aims, goals, and objectives—distinctions that were not directly related to organizational planning requirements. We will explain later how to achieve a consistent relationship among educational goals at each level.

*Support program goals.* A support program goal is an outcome of a program existing to support the entire school system or one or more of its components. Such functions as planning, evaluating, curriculum development, data processing, and public relations are examples of support functions, and programs to carry them out are found in many school systems and even schools.

Two classes of support program goals can be identified: service goals, which specify a service to be performed for another unit or units of the system to enable them to reach their goals; and system support goals, which specify an outcome the accomplishments of which will support the operation of an entire district, a subdistirct, or a school. Support programs such as instructional materials clearly exist to provide goods and services required by educational managers to meet their goals. Such programs should be governed by *service goals* which state the service to be provided, the recipient of the service, and the type, quality, and (or) frequency of service to be provided.

Examples of service goals for an instructional materials program are:

- To provide school principals efficient procurement and timely delivery of audiovisual equipment ordered
- To provide school principals timely repair and return of instructional equipment upon request.

Note that these goals, though they exist only to make it possible for educational programs to attain their goals, lend themselves to independent evaluation. In most instances, evaluation of a service goal is appropriately the function of the unit(s) being serviced.

Support services such as legislative and public relations offices support an entire system. Their goals are ends in themselves (outcomes) and differ in this regard from service goals. This class of goals, called *system support goals*, is illustrated below:

- To increase the amount and share of state support received by the district
- To secure public understanding of and support for educational programs of the system
- To secure understanding on the part of teachers and the administrative staff regarding the policies and actions of the Board of Education.

Explicit statements of support goals are seldom found in school systems, but like well-formulated educational goals, they can exert a direct and powerful influence on the formulation of objectives and programs.

Also like educational goals, support goals represent desired conditions which may not be fully realized. But they provide guidelines which should contribute to the overall effectiveness of the enterprise. They provide points of reference for assessing the quality of the school system.

*Management program goals.* Managers, the "line officers" of a school system—principals, administrative directors, assistant superintendents for administration or operations, and superintendents—can and should set goals for their own performance. Carrying out the necessary functions of management well and efficiently is the overarching management goal and should be the basis for management's evaluation. These functions include:

1. Establishing and periodically reviewing goals for all programs being managed.
2. Assessing attainment of goals in all programs being managed.
3. Determining improvement priorities within and among all programs being managed (based on assessment of goal attainment) and setting management objectives.
4. Developing plans (and alternatives) for priorities selected for attention.
5. Selecting, refining, and implementing programs for priorities selected for attention.
6. Operating and monitoring all programs.

Management changes will normally be aimed at improving the efficiency and effectiveness of these functions.

The relationships among goals and objectives just described are summarized in Figure 1. This figure shows how goal-based planning can work at all levels of the organization. It shows that goals, appropriately defined as outcomes of the three major system functions, can clarify what all programs are expected to produce, thus making evaluation and improvement possible throughout the organization.

**Objectives**

*Management* controls support and educational programs through subordinate officers. If a manager wishes to make changes in an instructional program or support program, he or she must do so through *management objectives* communicated to (and often developed cooperatively with) school principals or support service heads, who must then set *program change objectives* designed to carry out their intent. The *program change objective*, as stated earlier, should be an explicit plan, stating procedures, tasks, timelines, costs, and outcomes (goals) to be influenced by the change. The budget of the superintendent's office normally carries no funds for program change. The budgets of the schools and a set of support services usually will. However, managers can (and should) initiate the direction and convey the urgency of desired change through the setting of management objectives. These will reflect the priorities of the superintendent and board of education, and of managers at lower levels.

*Management objectives* can express intent to change or improve programs within each of the three major functions of management, support, and instruction. Examples are:

- To strengthen central planning and evaluation (management function).
- To provide school principals and teachers accurate measures of individual achievement in the basic skills subjects, and reports showing growth of class and grade level groups from fall to fall (support function).
- To review and improve the science program in grades four-to-six (instruction function).

Philosophic differences can arise within school systems regarding the

role of management at each level (district, sub-district, school) in initiating and dictating the character of desired improvements. Obviously, if a superintendent and board assume aggressive roles in setting management objectives, it leaves little time and resource leeway for initiative at lower levels.

Building managers (principals) must translate management objectives from all higher levels into program changes within their schools. The effect on principals of this "pyramiding" of priorities is an inadequately explored aspect of administrative theory and practice.

### Levels of Educational Goals

As indicated earlier, there are four levels of organization at which it is useful to state educational goals: *system*, *curriculum*, *course*, and *daily instruction*.

*System level educational goals.* The board of education is responsible for approving statements of outcomes at the district level. Such goal statements should:

1. Be sufficiently general to encompass all desired learning outcomes within relatively few statements
2. Be expressed in terms of learnings serving the dual needs of the individual and society
3. Provide clear direction to curriculum planners in establishing programs and defining curricular goals.

*Curriculum level educational goals.* A second level goal is required to elaborate the meaning of each system goal. Such goals, which we arbitrarily call *curriculum level goals*, should:

1. Be sufficiently comprehensive to provide for the full implementation of district goals
2. Be developed within the existing structure of subject fields (mathematics, science, physical education)
3. Be sufficiently precise to provide a basic reference for formulating the goals of courses and other units of educational experience.

Curriculum level goals may be formulated by specialists at the district, area, or even school level, but probably at only one of these.

It should be noted that goal elaboration from System to Curriculum Levels carries with it no requirement for designing educational experiences.

The final two levels may be referred to as the implementing levels, for it is here that curriculum goals are translated into more specific goals which suggest how instruction should be organized and what resources will be required.

*Course level educational goals.* The third level of goal specification must provide the basis for organizing educational experiences within schools. At this point, curriculum level goals will undergo both an elaboration of detail and a differentiation in terms of student characteristics (age, ability, and interest). Typically, these will be the learning goals of courses (high school and departmentalized elementary schools) and of areas of instruction (nondepartmentalized or nongraded elementary schools).

Course level educational goals should:

1. Be at a level of generality that permits all outcomes of a course to be described in relatively few (about 15-25) statements
2. Be sufficiently specific that criteria for indicating their attainment can be identified
3. Represent knowledge, skills, or values to be acquired, not resources and methods used to achieve them.

In many cases, courses are bound within the covers of a textbook and goals are taken for granted. Or school systems develop curriculum guides or instructional units containing goals and learning experiences. In neither case are goals consistently derived from higher level goals. Thus it may fairly be said that district level statements of purpose and philosophy have not, as a rule, exerted a direct and powerful influence on instructional planning or the selection of learning materials at the course and daily instruction levels. If district and curriculum goals are to serve this guiding and directing function, there must be a direct line from the district to the classroom levels of planning.

*Instructional level educational goals.* The final step, translating course goals into instructional goals, must belong to the teacher, who should plan not only what building blocks of learning will lead the student to achieve each course goal, but who must, each day in the classroom, achieve as many concomitant goals as possible. This final act of curriculum design cannot be preempted at a higher level because there is no way the needs of students and strengths of the teacher in a given classroom can be fully anticipated.

Figure 1 illustrates the relationship among various levels of goals in mathematics. It also shows how these levels of goal definition relate to "behavioral objectives" and "performance objectives."

### Goal-based Planning

Goal-based planning (like PPBS and Management by Objectives before it), is a logical concept that suffers from oversimplification. For practical application of these concepts in the real world, the terms used must be adequately defined and differentiated.

The distinctions presented here are intended to bring order and logic to the terminology of goal-based planning. They recognize that goals need to be differentiated according to the functions of a school system (management, support, instruction); that goals (program outcomes) need to be differentiated from objectives (statements of intent to change program elements in specified ways to more effectively or efficiently achieve program outcomes); and that educational goals need to have the same essential character but different levels of generality to suit the requirements of planning at the system, curriculum, course, and daily instructional levels.

Some commonly used terms such as "behavioral objectives," "performance objectives," and "goal indicators" are not a part of this system of terminology. The first two (as shown in Figure 1) are better suited to specifying conditions under which learning is demonstrated than they are to stating learning outcomes. "Goal indicators" is a loose term that should be dropped.

There are many problems facing anyone wishing to make goal-based planning work in school systems. Struggling with inconsistent and confused terminology does not have to be one of them. ■

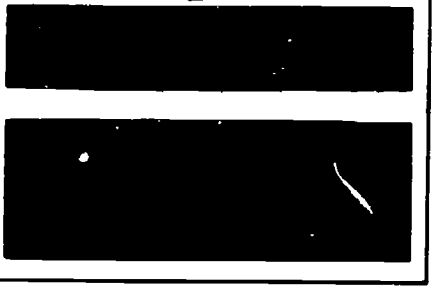
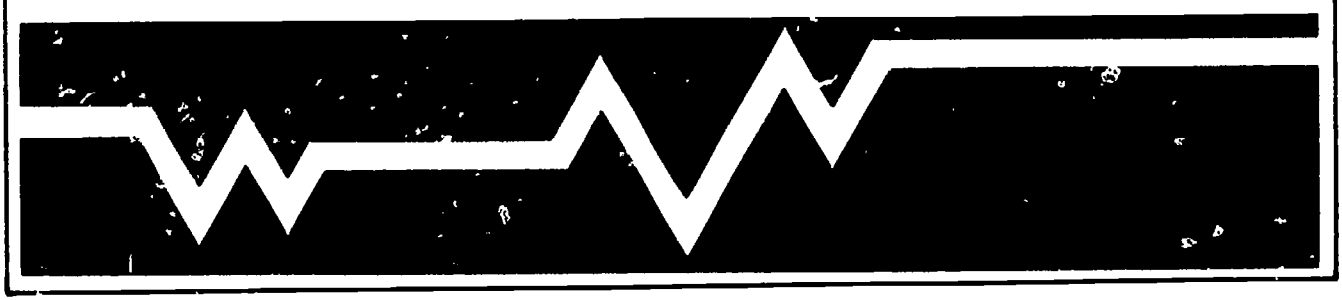


**Figure 1.**
**Goal Based Planning and Evaluation in a School System**

| | Type of Goal | Stated by: | Evaluated (Assessed) by: | Method of Evaluation (Assessment) | Action |
|---|---|---|---|---|---|
| System Level | Management Goals (Stated as management functions) | Superintendent | Board of Education | Interview, instruments | Superintendent prepares management objectives indicating priorities for improvement of management functions. |
| | Support goals (Stated as services to designated recipient groups) | Support Service Heads | Recipients of services stated in support goals (results reviewed by superintendent) | Rating forms, other instruments | Superintendent prepares management objectives indicating priorities for improving support services.<br><br>Support service heads prepare program change objectives showing proposed changes, rationales, methods, costs. |
| | Educational goals (Stated as learning outcomes at system, curriculum levels) | Curriculum personnel (advised by community, approved by Board of Education) | District measurement program (results reviewed by superintendent support staff) | Survey level achievement tests | Superintendent or line staff issue management objectives indicating priorities for improved attainment of educational goals.<br><br>Principals and support services heads prepare program change objectives showing proposed methods of improving instructional programs in response to district priorities. |
| School Level | Management goals (Stated as management functions) | Principal | Line administrator to whom responsible | Visitations, instruments, interviews | Record plans for improvement on formal principal evaluation form. Follow-up discussions by principal and administrator. |
| | Support goals (Stated as services to designated recipient groups) | School professional staff (large schools); principal (small schools) | Designated recipients of services; principal | Rating forms, other instruments; staff discussions | Principals and support staff prepare program change objectives showing proposed improvements in services, rationales, procedures, costs. |
| | Educational goals (Stated as learning outcomes at the course level) | Teacher planning groups (grade level, subject) | District measurement program; teacher evaluative procedures | Survey level achievement tests; unit tests (commercial and teacher-made) | Principals and teachers prepare program change objectives showing proposed methods of improving instruction in response to school as well as district priorities. |
| Classroom Level | Management goals (Stated as instructional and pupil management functions) | Form used for teacher evaluation | Principal-teacher | Observation, discussion, formal teacher evaluation procedure | Record plans for improvement as part of formal teacher evaluation. Follow-up discussions by teacher and principal. |
| | Support goals (Not formally stated at classroom level) | Not stated | Not formally evaluated | | |
| | Educational goals (Stated as instructional outcomes of daily planning) | Teacher | Teache | Daily observation, testing | Daily planning, diagnosis, prescription. |



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# Does "Management by Objectives" Work in Education?

**Frank Gray and Margaret L. Burns**

*MBO has not lived up to expectations but still has great potential as a management tool.*

Less than ten years ago, educational administrators were talking about Management by Objectives (MBO) and Planning, Programming, Budgeting Systems (PPBS). These management techniques, developed for use in business and government, were said to hold great promise for improving education. They were even mandated by law in some states. Now that schools have used MBO for a few years, it may be useful to review how well the process has lived up to expectations.

For those who may not be familiar with Management by Objectives, I will explain briefly how it works. Most school systems begin by having the board of education set general goals and priorities based on input from citizens, staff, and students. The superintendent sits with the board to develop short- and long-term objectives based on the goals. The superintendent then breaks down the objectives into subparts for the next lower levels of administration. Each person in the system takes on objectives which, when accomplished, will move the district closer to its goals. Employees are evaluated by assessing the degree to which they accomplish their objectives.

An MBO system is said to have several benefits. For one, there is increased contact between appraiser and appraisee throughout the process. The communications are purposeful, in that discussion is centered on job objectives and the de-

velopment of skills necessary to reach those objectives. Second, team management becomes a reality because the success of each manager depends upon the performance of all members of the team. Third, the process helps define priorities and encourages managers to allocate time to tasks of greatest importance. Fourth, the system provides increased recognition of each administrator's contribution.

### MBO in Hyde Park

The Hyde Park, New York, schools have used MBO in performance appraisal of teachers and administrators for the past seven years. The district already had an evaluation system, but there were increasing demands for accountability. When several tenure recommendations were made without sufficient supportive data, the board instructed the administration to begin appraising employees in a more systematic way. They adopted a policy calling for a positive appraisal process designed for educational improvement.

Teachers and administrators were asked for their assistance in developing the appraisal plan, the first step toward an accountable MBO model. After a process of study and field testing, the Redfern job target program was adopted. There was a great deal of inservice for the staff to develop the skills associated with appraisal.

Concurrent with introduction of the appraisal system, the board—with involvement of the community and staff—set performance objectives in the basic skills as a high priority of the district. Improvement in basic skills performance gave focus to administrators' and teachers' job objectives, and achievement did improve as confirmed by standardized test scores. Through the years, however, the number and general quality of job objectives set by teachers and administrators has declined. My observations of this and other districts lead me to suggest several factors that interfere with successful use of MBO in education.

### How Schools Are Different

One reason that MBO may not work as well in education as in some other types of organizations is the reward system in schools. Management literature is filled with examples of X and Y leadership types and theories about self-actualization. These frameworks are neatly tied to the benefits that will occur to employees as a result of the performance appraisal process. While some of this philosophy applies—namely, that people like to know and please their boss—there are some marked differences between industry and education. Performance appraisal in industry is usually tied to salary and advancement. In education, advances in salary are usually the result of the collective bargaining process and additional training. There are few financial penalties for mediocre performance. No wonder most educational administrators and teachers are cynical when at the end of the appraisal cycle, all that happens is that the material is placed in a file.

*"The most successful performance appraisals I have observed in our district were those in which a person was facing dismissal. In these cases, very specific objectives and improvement plans were drawn up. The process had to be taken seriously; it was a matter of survival."*

The most successful performance appraisals I have observed in our district were those in which a person was facing dismissal. In these cases, very specific objectives and improvement plans were drawn up. The process had to be taken seriously; it was a matter of survival.

Another major difference between education and industry is the number of people supervised. In industry, the "span of control" is often about one to six. This ratio was never even approached in performance appraisal of administrators or teachers in our district. We tried to get around it by rotating the number of staff on appraisal each year, but it wasn't realistic to place people on appraisal one year out of four. An unrealistic ratio of supervisors to those being supervised will hurt any MBO program.

### Conditions in Education

Some factors are not so much a matter of differences between education and other organiza-

tions as they are reflections of current conditions in education. One important factor in our district has been the response of the teacher association. Although outwardly supportive of what they admitted was a "due process" system, and pleased with its philosophy, officers of the association

*"MBO holds great potential as a management tool. It is just a process, but the rewards that can accrue to students are well worth the effort of making it work in your district."*

seemed more interested in attaining their own goals than in those of the district. Agreements negotiated by the association stipulate the number, times, dates, and types of evaluation that an administrator can make. These restrictions make it difficult for administrators to fulfill their responsibilities under MBO.

An effective MBO system requires a degree of cooperation and trust between the supervisor and the person supervised. The manager shares responsibility for how well subordinates perform. Their failure to reach job targets reflects not only on them, but also on the manager. Staff development, therefore, must be part of the appraisal process.

Some MBO systems may be ineffective because job targets consist of objectives only. A well-written target should contain a work plan including a time line for specific parts of the plan, the kind of help and assistance that is necessary, the data that will be collected to assess the degree of job target achievement, and also a statement of what will be considered an acceptable level of target achievement. It is the responsibility of both the appraiser and appraisee to include all of these elements. There should be no surprises.

Also, some managers may overdo the collegial approach to setting objectives. Instead of accepting whatever objectives subordinates propose, managers may have to be more direct in negotiating objectives in accordance with district priorities.

## Commitment

Perhaps the most important factor affecting success or failure of MBO is commitment. The board and superintendent must set their targets and make them public. The targets should be similar in format to those that the other managers are expected to set.

All too often, commitment is replaced by crisis. Who expected the poor fire inspection report that had everybody running around setting things straight for two weeks? Because crisis management is a fact of life, a well-planned MBO model will build in time for the unexpected. Frequent communication with the management team should be planned for, so that adjustments may be made in priorities and time lines. Records should be kept of any changes that are made, so that the final appraisal includes recognition of reasons that parts of the original plan were not accomplished.

## Hidden Agendas

Some school systems begin using MBO because administrators and board members believe it will increase accountability. Board members may be familiar with its operation in the private sector and feel that if it works for business it should work for education. Others do it for political reasons. They conceive of MBO as a means of establishing control over the system and the superintendent. Because the board sets the objectives, they expect to gain a larger role in decision making.

Sometimes boards want MBO in order to "get the superintendent." Setting unrealistic demands on a superintendent can result in a poor evaluation. The fact that a superintendent has not met the objectives can be considered grounds for dismissal. On the other hand, the MBO process can be used by the superintendent for self-protection. By writing an MBO evaluation procedure into the contract, the superintendent can feel secure that his/her appraisal will be reasonably fair. He/she can set targets that are realistic, and develop data that ensures a successful appraisal. Ideally, the board's motive for starting MBO should be to improve the educational program.

## Elements of a Good MBO Program

In summary, the following are key elements of a good performance appraisal plan:

1. The people involved must be skilled in the process and committed to seeing it through. This starts with a strong board of education policy that includes performance objectives.

2. The system must define jobs of all participants.

3. Each person's performance objectives must be tied to larger organizational goals.

4. Sufficient resources must be allocated to support the program.

5. Appraisal must be used as a staff development process as well as a vehicle for achieving organizational goals.

6. The system must contain rewards and sanctions for the achievement or nonachievement of objectives.

7. The system must be constrained as little as possible by negotiated contracts.

8. Sufficient time must be provided and paperwork should be kept to a minimum.

9. The system must be flexible and allow for crisis situations.

MBO holds great potential as a management tool. It is just a process, but the rewards that can accrue to students are well worth the effort of making it work in your district.

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ARLENE HARTMAN

# REACHING CONSENSUS USING THE DELPHI TECHNIQUE

**A modified Delphi Technique can be used to reach consensus in decision making and conflict resolution.**

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The Delphi Technique is a forecasting tool with proven benefits for long-range educational planning. Designed as a consensus-building model, it can be adapted for use in short-term decision making and conflict resolution.

In the Paramus, New Jersey, Public Schools, major curriculum development and revision is done primarily by committees established by a broad-based Curriculum Council. In the total approval process, the Administrative Council, which includes all principals, has the right to review proposals approved by the Curriculum Council before they are recommended to the Board of Education. The Administrative Council, however, has rarely rejected any proposal approved by the Curriculum Council.

Recently, a committee was established by the Curriculum Council to review the existing program for gifted and talented students. The committee, composed of classroom teachers, enrichment teachers, specialists, parents, and students, sought formal representation from the principals, but none was able to serve. When the committee later presented its report to the principals, several key differences of opinion emerged. The conflict was unexpected since earlier discussions between the two groups had disclosed no major disagreements.

At this point, joint meetings held to resolve the differences only served to heighten and polarize them. Finally, both groups agreed to delegate to me the task of resolving their problem without any further joint meetings. As Curriculum Coordinator, having a "foot in both camps," I was the logical mediator. Given the need to reach consensus without common meetings, I felt a variation on the Delphi Technique would be the best tool for resolving the conflict.

### The Modified Delphi Process

The standard Delphi process uses a series of statements of possible future developments. For each development, every respondent is to check the column designating the time interval when it is likely to occur, along with

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**Figure 1: "Modified Delphi Technique: Enrichment — Phase 1"**

1. For each statement below check the column which most reflects your position:
   A — Agree with
   B — Not certain, but willing to try for a year and evaluate
   C — Disagree with
2. For each column where you check C, indicate in the space below the statement how you would like it amended (Others may also comment, if desired).

| | A | B | C |
|---|---|---|---|
| Where there is strong agreement among classroom teacher, enrichment teacher, and principal that a student meets all criteria in referral (page E-6 of report), the student shall be selected without additional testing. | | | |
| Any student for whom the "pull-out" gifted program still appears to be inadequate to meet his/her needs may be referred to the Child Study Team for consideration for possible development of an Individual Educational Plan. | | | |
| In grades 6 and 7 only a core program will be provided, with grade 8 students only involved in "Olympics of the Mind" and advanced algebra. Extension of a full core program for grade 8 will be reconsidered at a later time. | | | |

**Figure 2: "Modified Delphi Technique: Enrichment — Phase 2"**

Read the statements with the suggested change. Your original choice is circled. Check the column which reflects your position on the statement *as amended*:

A — Agree with
B — Not certain, but willing to try for a year and evaluate
C — Disagree with

| | A | B | C |
|---|---|---|---|
| Where there is strong agreement among classroom teacher, enrichment teacher, and principal that a student meets all criteria in referral (page E-6 of report), the student shall be selected without additional testing.<br>(Change: Include also the selection criteria, page E-7 of report, to assure use of at least one standard objective element.) | 8 | 3 | 3 |
| Any student for whom the "pull-out" gifted program still appears to be inadequate to meet his/her needs may be referred to the Child Study Team for consideration for possible development of an Individualized Educational Plan.<br>(Change: Add an intermediate step involving Subject Area Consultants; make enrichment teacher CST member in cases involved.) | 7 | 3 | 4 |
| In grades 6 and 7 only a core program will be provided, with grade 8 students only involved in "Olympics of the Mind" and advanced algebra. Extension of a full core program for grade 8 will be reconsidered at a later time.<br>(Change: Provide scheduled classroom cycle as in grades 2-5; reconsider for grade 8 as soon as no additional staffing involved.) | 6 | 4 | 4 |

choices from columns indicating desirability and potential impact of the development. When responses are gathered, the same statements are again sent to respondents, this time indicating the time span preferred by most of the respondents in the first round. The second round asks that a time span again be checked, but it also requires each respondent to give a reason if his or her choice differs from the preferred choice from round one. A third round follows a similar procedure and brings the task to completion.

I made two major modifications in the process. The statements, rather than representing possible future developments, were policy statements representing key issues between the two groups in the gifted and talented program proposals. The complete chart contained 20 such statements. The column choices were more limited in an attempt to identify clearly the degree of polarization. Those not agreeing were asked to specify in this first phase the change they would accept. Figure 1 shows an excerpt of three statements from the actual Phase I (first round) chart used.

Phase 2 of the process involved several revisions to the original chart. Each column showed the number

who had selected that choice; each individual's initial choice was circled as a reminder of his or her original decision. In the statements portion, suggested changes were added to the originals. In this phase, the respondents were to check their preference again, whether the same or different, and indicate whether or not they would accept the modification statements. Figure 2 shows these modifications as they were made for the same three statements.

A tally of results after Phase 2 showed clear consensus (that is, not more than one person still choosing "C") for 18 of the 20 statements; two respondents still disagreed about the two remaining statements. When these results were shared, an informal Phase 3 authorization was given to endorse these final statements and recommend them to the superintendent as amendments to the original report. Subsequently, the Board of Education approved the report and the new plan was put into effect.

**Advantages**

This modification has the same major advantages as the basic Delphi. Anonymity makes it unlikely that consensus will be forced since no respondent knows how others, particularly those of ascribed authority, have voted. Each individual must make choices on all issues, in contrast to group meetings at which many people prefer not to express their ideas, which can result in an inaccurate tacit assumption of agreement with the positions expressed by more vocal members. I believe it improves upon the basic process by requiring that those who disagree offer specific amendments. Use of tallies by column, rather than simply indicating which column represents the group choice, gives a more accurate picture to each respondent of the general group reaction. Finally, the inclusion of the "B" choice affords a middle ground for compromise and gives a clearer picture of the degree of strength of support for the position. In the first instance, many who could not enthusiastically support the statement proved willing to let it be tried and evaluated. Many statements received almost unanimous endorsement (all or almost all "A" responses), while others were more muted (several "B" responses combined with the strong agreements).

**Not a Panacea**

In the situation I have described, the modified Delphi Technique was a highly useful and successful approach. Without it, basic disagreements could not have been resolved except by fiat from the superintendent, which neither he nor any of the people involved would have wanted.

However, I don't want to be misleading by suggesting that this approach is a simple panacea for all situations involving decision making or conflict resolution. A great deal of preliminary data-gathering is needed to get some assessment of potential areas of compromise. Informal meetings with key people from both groups and a variety of initial positions must be synthesized into the initial statements. Statements must be written quite carefully to minimize the possibility that different interpretations of their meaning may occur, possibly resulting in "false" agreement. (In the actual process, several people added comments of clarification to my original statements, showing that I hadn't worded them as clearly as I thought.) Finally, the person who is serving as the "mediator" in this process must be perceived by all parties as being fair and neutral on the issues if the group is to have confidence in the results. Despite these potential problem areas, I believe the modified Delphi Technique has promise for use in similar situations for both decision making and conflict resolution. ■

**What is Delphi?**

The Delphi technique was an invention of the 1960s, worked out by some Rand Corporation people dissatisfied with the way committees laid plans for the future. The method has a simple, almost silly sound. Instead of having meetings, questionnaires are circulated to the members of a group, and each person writes his answers out and sends them back in silence. Then the answers are circulated to all members and they are asked to reconsider and fill out the questionnaires again, after paying attention to the other views. And so forth. Three cycles are usually enough. By that time as much of a consensus has been reached as can be reached, and the final answers are said to be substantially more reliable, and often more interesting, than first time around. In some versions, new questions can be introduced by the participants at the same time that they are providing answers.

It is almost humiliating to be told that Delphi works, sometimes wonderfully well. One's first reaction is resentment at still another example of social manipulation, social-science trickery, behavior control.

But, then, confronted by the considerable evidence that the technique really does work — at least for future-forecasting in industry and government — one is bound to look for the possibly good things about it.

Maybe, after all, this is a way of preserving the individual and all his selfness, and at the same time linking minds together so that a group can do collective figuring. The best of both worlds, in short.

What Delphi is, is a really quiet, thoughtful conversation, in which everyone gets a chance to *listen*. The background noise of small talk, and the recurrent sonic booms of vanity, are eliminated at the outset, and there is time to think. There are no voices, and therefore no rising voices. It is, when you look at it this way, a great discovery. Before Delphi, real listening in a committee meeting has always been a near impossibility. Each member's function was to talk, and while other people were talking the individual member was busy figuring out what he ought to say next in order to shore up his own original position. Debating is what committees really do, not thinking. Take away the need for winning points, leading the discussion, protecting one's face, gaining applause, shouting down opposition, scaring opponents, all that kind of noisy activity, and a group of bright people can get down to quiet thought. It is a nice idea, and I'm glad it works. ■

**Educational Leadership** 35 (Mar. 1978): 482–486


# The Time Management Ladder

**Michael J. Sexton and Karen Dawn Dill Switzer**

*Indicated here are several valuable rules of time management. These, according to these authors, will help to elevate the efforts of school persons toward efficiency and effectiveness in their professional and personal endeavors.*

Once there was a school that ran like clockwork. The principal was efficient, the teachers worked hard, and the school responded well to any crisis.

But in a nearby district, there was a different sort of school. The principal and the supervisors were efficient, but others did not particularly notice that. Others noticed instead the quality time spent talking with teachers and students. The teachers worked hard, but others did not particularly comment on that. They said that the teachers were creative, and the students said that they really liked school. There was a stimulating environment in which creative forces were at work together to attempt new ideas.

What makes the difference between the just-satisfactory school described first and the exciting school?

One has only an educational manager, while the other has a true educational leader. The same quality separates the principal or supervisor who just makes it through each day from the one who strives for excellence and creativity. We can "feel the vibes" when we are working with a true educational leader.

What constitutes the critical difference between the two extremes? There *is* an identifiable distinction between true educational leaders and others. The distinction is: How they use their time. The leaders use time to their own advantage. Certain routine functions are handled quickly and efficiently so that more time can be spent on subjects that the educational leader perceives as having the greatest import for the school.

In this article we will explore how principals and supervisors use their time productively. We will identify how they use their time efficiently to function as good managers, and then rise another step higher, using time effectively to serve as leaders among teachers, students, and colleagues.

We could illustrate the pathway to leadership by the Time Management Ladder in Figure 1. Educational leaders use their time constructively to go up the ladder to achieve new heights. The objective is to spend as much time as possible in the realm of professional goal functions—doing the #1's. When principals and supervisors are approaching tomorrow's educational concerns on today's ideas and energy, while setting and implementing goals, they are on the top level of the Time Management Ladder.

## Clockwatching Went Out With the Charleston

We're not clockwatchers. That technique was popular back in the days of Frederick W. Taylor's scientific management. Time and motion studies were used to observe all the movements involved in a particular job and then determining the best set of motions leading to the greatest efficiency for that job. Production standards were set as the stopwatches clicked in an effort at planning the largest daily task possible for each worker.

But how can we claim not to be clockwatchers, and still be concerned with time? The key is that we are concerned with *quality* time and productive time. And that key unlocks the door to time for oneself and time for one's students.

## Educational Leaders vs. Educational Managers

Examine Figure 2 for examples of the three steps on the Time Management Ladder. Notice that a school can exist and function relatively efficiently if a good manager handles the everyday #3's and the critical or crisis #2's well. However, unless administrators in the school are taking time to formulate and deal with their #1's, then the school cannot rise to heights beyond just-satisfactory.

But all who dwell on #3's and #2's are not efficient. Do you recognize the portrait of the busy supervisor who is swamped in #3's and claims to be behind in work every day within ten minutes after arriving? This supervisor can work frantically and crank out memoranda and call meetings that do nothing except perpetuate the system. This is a case of one's work interfering with one's job.

The point is that we must rise to the top of the Time Management Ladder. But how do supervisors and principals find the time for accomplishing those creative #1's? First, they must deal with their #3's and #2's as quickly and efficiently as possible. As we suggested in the October issue of *Educational Leadership*,[1] it is important to choose the best administrative style for the situation. For example, routine institutional functions such as opening and disseminating the mail demand the authoritarian mode, which is the most efficient and time-saving style. Similarly, in the case of a critical function such as a fight in the classroom when

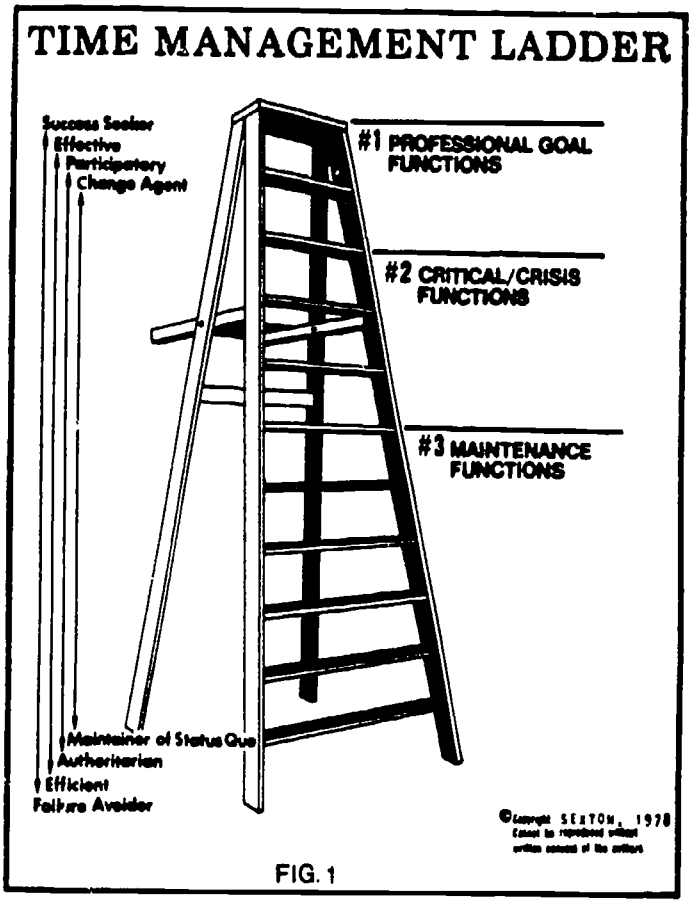

FIG. 1

administrators do not want input or feedback, they should operate in the authoritarian mode. Combining skills at time-saving administrative style with skills at effective delegating and effective use of time, they will have greater opportunity to move up on the Time Management Ladder to self-impose those #1's that have far-reaching effect and greatest import for the school. In workshops, the authors conduct on time management and administrative style,[2] principals and supervisors have requested concrete rules of time management in order to have the time to think about #1's.

## Rules of Time Management

### *A. Avoid Time-Wasting Habits*

Let's start with what not to do. Our research

[1] See Michael J. Sexton and Karen Dawn Dill Switzer. "Educational Leadership: No Longer A Potpourri," *Educational Leadership* 35(1): 19-24; October 1977.

[2] Information on workshops may be obtained by writing Dr. Michael J. Sexton, Department of Educational Administration, Texas A&M University, College Station, Texas 77843.

has shown that the areas listed below are the most commonly recognized time-wasters. This check list has been developed to help the practicing supervisor avoid pitfalls of time-wasting.

1. ____ No. 3-type telephone call interruptions
2. ____ Phone conversations longer than five minutes
3. ____ Visitors who drop in with #3 priority
4. ____ Ineffective delegation of duties
5. ____ Trying to do too much
6. ____ Procrastinating at any level on the Time Management Ladder
7. ____ Meetings and assignments that are your #3's and your boss's #1's
8. ____ Meetings that involve more people than necessary
9. ____ Setting unrealistic deadlines—or not setting a deadline at all
10. ____ Using a general meeting to take roll
11. ____ Encouraging "give and take" dis-

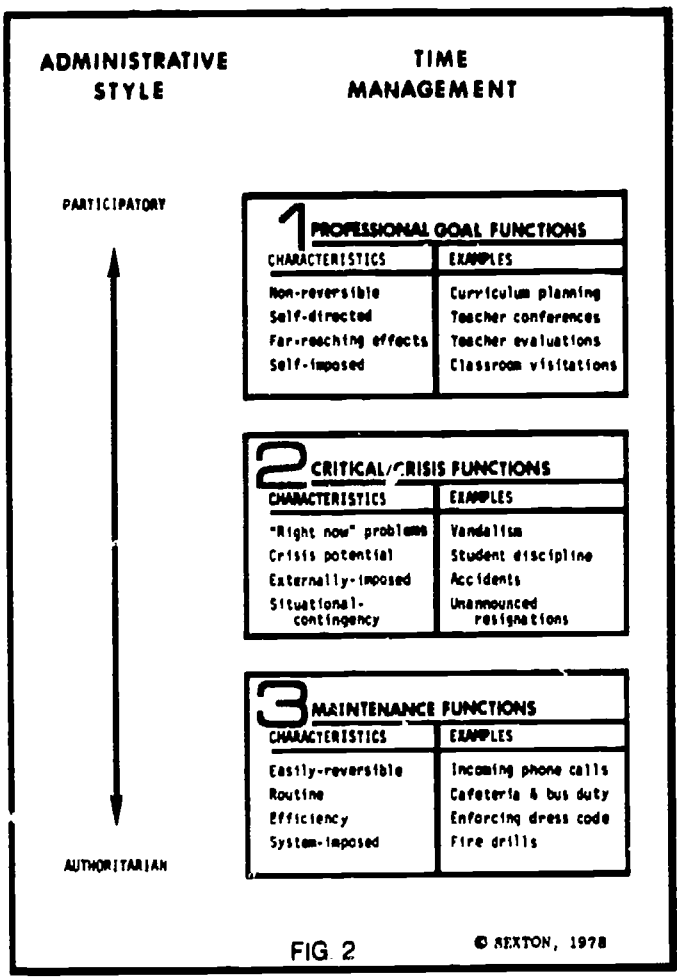


Figure 3: Time Management Weekly Log

Beside each hour of the day, write what you did most of that time. Follow the example at the left of the log as a guide. Then, at the end of each working day, classify your time according to this code:

#1 = Professional Goal Functions
#2 = Critical/Crisis Functions
#3 = Maintenance Functions
P = Personal Activity

| Example | | | Monday | Tuesday | Wednesday | Thursday | Friday |
|---|---|---|---|---|---|---|---|
| 8 | #3 | Open Mail / Organize | 8 | 8 | 8 | 8 | 8 |
| 9 | #2 | Appt I called w/staff re: | 9 | 9 | 9 | 9 | 9 |
| 10 | #2 | Weekend Fire | 10 | 10 | 10 | 10 | 10 |
| 11 | #3 | Answer Correspondence | 11 | 11 | 11 | 11 | 11 |
| 12 | — | Lunch | 12 | 12 | 12 | 12 | 12 |
| 1 | #1 | Called Staff re: 5 yr plan | 1 | 1 | 1 | 1 | 1 |
| 2 | P | Dentist | 2 | 2 | 2 | 2 | 2 |
| 3 | #3 | Committee Central Office | 3 | 3 | 3 | 3 | 3 |
| 4 | #3 | Met with Parent | 4 | 4 | 4 | 4 | 4 |
| | #3 | Dictate Mo. Report | | | | | |

Totals: Count the hours you spent this week on: #1____ #2____ #3____ P____

Your goal for next week: #1____ #2____ #3____ P____

© Sexton 19[illegible]

cussion with people who have #3 ideas or not encouraging such discussion with people who have #1 ideas

12. ——— Wasting time attempting to become more efficient at what you should not be doing in the first place.

*B. Control Parallel Ladders*

Parallel to your professional ladder is at least one additional demand on your time—your personal ladder. By realistically appraising the steps on your personal ladder, you can truly prioritize your work day. If the children must be picked up from preschool at a certain time daily, this routine #3 maintenance function must be accounted for. Dental problems could present a crisis situation demanding immediate #2 attention. And you should often plan for #1 personal goal functions such as career advancement.

You should consciously be aware of your personal ladder so that its contents are prioritized appropriately along with the contents of your professional ladder. For a professional, this means that tending to certain personal matters during the work week is normal—you won't have time to feel guilty! But on the other hand, this means that your time must remain as *quality* time, regardless of the parallel ladder upon which you are operating.

Most supervisors do not have a clear idea of how much time they do spend during the work week on #1's, #2's, and #3's from their parallel ladders. We have found that the only way to find out is to keep a brief log for one week. There is no need to write down everything you do (who except the inactive could do that!). Instead, write down your primary activity each hour, and then at the end of the working day classify your time spent, as shown on the example in Figure 3.

*C. Maintain High Visibility*

As you know, a good leader is the one who seems to be seen everywhere and seems to see everything. Taking the time to be visible must be a professional #1. Supervisors who insulate themselves from teachers and students will not be able to stay in touch with the reality of the school.

This rule of effective time management is probably not news to you. What *is* important about this rule is to think of it in terms of being a #1 on the Time Management Ladder. Then you can efficiently work through your routine #3's, in order to have time to maintain high visibility. Notice on the Time Management Ladder that when you deal with your #1's such as high visibility, you are concerned with effectiveness, and your administrative style is therefore participatory in nature.

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## Topic F

# The Supervisor as Facilitator in the Improvement of Teaching and Learning

FEW, IF ANY, WRITERS DISAGREE THAT THE PRIMARY FOCUS in educational supervision is the improvement of teaching and learning. The term instructional supervision is widely used in the literature to embody all efforts to those ends. Indeed, by some writers the term instructional supervision is used synonymously with general supervision; by others it is used to denote not only the primary, but also the only, area of responsibility for supervisors. Titles used for supervisory positions, such as director of instruction, assistant superintendent for instruction, and instructional supervisor, reflect the commonly held view that the improvement of teaching and learning is the major responsibility of central office supervisors.

At the individual building level the principal is charged with the responsibility for instructional leadership. In larger elementary and middle schools a lead teacher may be the one most directly responsible for the supervision of instruction. In secondary schools the department chairpersons often provide direct instructional support for the teachers in the department. Central office supervisors work with teachers at all levels to facilitate the improvement of teaching and learning. These many evidences of the priority assigned to the task of instructional supervision in the schools emphasize the importance of the articles in this section.

Squires, Huitt, and Segars identify five indicators that are associated with student achievement scores: school leadership, supervision, schoolwide norms, teacher behaviors, and student behaviors. In discussing the interrelationships of these indicators, they elaborate the ways in which "positive" supervisors work with teachers to "improve professional practice so that both individuals become increasingly competent in performing their roles." Five "phases of supervision" are presented and suggestions are made for overcoming conflicts in the supervisory relationship during each phase. Squires, Huitt, and Segars summarize from research the characteristics of effective schools. They then draw on that research to offer practical advice to building principals who want to make their schools more effective.

Working with teachers to facilitate instruction involves supervisory conferences. Hunter makes four generalizations about the different purposes and outcomes of supervisory conferences and discusses in detail five instructional conferences. The sixth type of conference she proposes is "an evaluation conference which should be the summation of what occurred in and resulted from a series of instructional conferences."

Snyder offers clinical supervision as a vehicle for helping teachers improve their performance through the analysis and feedback of observed events in the classroom. She describes a clinical supervision linkage system which is an adaptation of the classical clinical supervision model. Within the "linkage system" as Snyder proposes it, clinical supervision "could emerge less as an evaluation tool

and more as a coaching system to assist teachers in acquiring proficiency in facilitation of student mastery of knowledge and skills."

Responding to the very important need of supervisors to be skilled in conducting conferences, Kindsvatter and Wilen offer their Conference Category System to help supervisors analyze their conferences with teachers. The system focuses on "skill areas in which supervisors should be competent to increase the probability of a successful conference." In their article the authors explain the system, include the analysis form, and conclude that the Conference Category System lends itself to supervisor development by providing "a source of information for self-analysis or dialogue in shared analysis."

McGreal draws on his experiences in working with 300 school districts to identify common elements associated with effective teacher evaluation systems. He differentiates between traditional evaluation models that stress teacher accountability and models of supervision that emphasize instructional improvement. In discussing effective evaluation systems, he argues persuasively for systems shaped by the attitude that "the purpose of the evaluation sysem . . . is truly to help teachers improve insruction." He urges, further, that attention be given to ensure that all procedures, processes, and instrumentation used in the evaluation system complement that purpose.

The direct responsibility for improving instruction and learning rests in the hands of school principals, according to Sweeney. He offers a research synthesis on effective school leadership to support his proposition that there are significant positive relationships between school achievement and instructional leadership behavior. He identifies six supervisory behaviors that can provide direction for principals who desire to "make a difference" in their schools.

Squires, Huitt, and Segars and Sweeney in their two articles report research having direct implications for principals and other supervisors as they work at the building level for the improvement of instruction. Hunter, Snyder, and Kindsvatter and Wilen offer conference techniques for the practitioner. McGreal's supervisory model for effective evaluation and Snyder's Clinical Supervision Linkage System emphasize, in common, elements such as goal setting, data gathering and analysis, and evaluation designed to foster teacher development and instructional improvement. Supervisors, teachers, and administrators will want to examine the proposal by McGreal and the one by Snyder as alternatives to the traditional accountability models for teacher evaluation. Scholars and students of supervision will recognize the contributions these articles make to the field of supervision in general and to the improvement of instruction in particular.

In reading the articles in this section, the following questions may stimulate thought and action. What, if any, relationship is there between Glickman's developmental stages (Glickman's article is in the previous section.) and Squires, Huitt, and Segars' five phases of supervision? Can conferences that are "totally" positive also be effective in improving instruction? (Five of Hunter's conference types are "totally" positive while one, she states, has potential for being either positive or negative.) What skills are necessary for conducting effective conferences? How can supervisors acquire these skills? Why do you agree or disagree with McGreal's recommendations that different evaluation procedures and requirements apply to tenured and nontenured teachers?

**Educational Leadership** 39 (Dec. 1981): 174–179


# Improving Classrooms and Schools: What's Important

Achievement improves when students have opportunities to experience success, and can increase their academic involvement and the amount of material they cover.

DAVID A. SQUIRES, WILLIAM G. HUITT, AND JOHN K. SEGARS

Over the past several years, researchers have discovered five school and classroom indicators that are associated with student achievement scores: school leadership, supervision, schoolwide norms, teacher behaviors, and student behaviors. These indicators and how they are interrelated, as shown in Figure 1, are important factors for administrators and teachers to consider when taking stock of their school.

Student classroom behaviors that indicate involvement, success, and coverage of appropriate content are most closely linked to student achievement, which is supported by teacher behaviors such as planning, management, and instruction. Supervisors foster teachers' professional growth by increasing the teachers' planning, management, and instruction skills. When supervisors help teachers plan for high student engagement, success, and coverage of content, then student achievement is likely to improve. The leadership in the school models and builds consensus around schoolwide norms, which support supervision, planning, and teaching that focuses on better student engagement, success, and

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**Figure 1. What's Important for Improving Classrooms and Schools.**

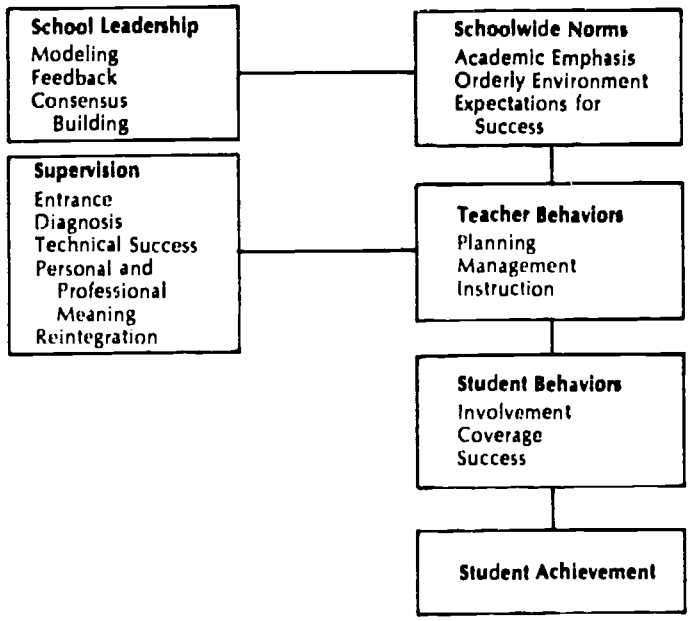
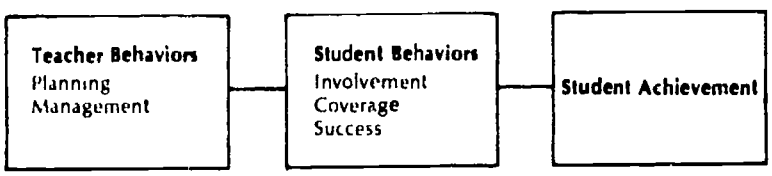



**Figure 2. Dimensions of Classroom Effectiveness.**



coverage. This is also the focus of the teacher's efforts in planning and implementing instruction and management strategies.

**Effective Classrooms**

*Student Behaviors.* Figure 2 shows three dimensions of effective classrooms that particularly influence student achievement.

Student involvement refers to the degree to which students actively work on academic content such as reading or mathematics. One measure of student involvement is *allocated time*—the amount of time given for instruction. Another measure is *engagement rate*—the percentage of time students actually spend working on assigned tasks. This is particularly important since students do not actively work on academic content the entire time allocated for it. Instead, students may spend time waiting for a new activity to begin, getting materials, sharpening pencils, talking to a neighbor, or staring out the window. Research has shown that average engagement rates can range from 60 percent to 75 percent at any given time (Brady and others, 1977; Fisher and others, 1978).

There is still a third measure of involvement that integrates allocated time and engagement rate—*engaged time*. Engaged time is the number of minutes per day that students spend actively involved in specific subject matter. In a nationwide study of Follow Through Programs involving more than 600 variables, engaged time showed the single strongest relationship to student achievement gains (Stallings and Kaskowitz, 1974). In general, the greater the amount of student engaged time, the greater the student achievement. However, a re-analysis of the Follow Through data indicates that more engaged time is not necessarily better. This re-analysis suggests that first-grade students should probably spend no more than 85 minutes in math and third-grade students should probably spend no more than 130 minutes in reading and language arts.

This work was partially supported through funds from the National Institute of Education, Department of Education. The opinions expressed herein do not necessarily reflect the position or policy of NIE and no official endorsement by NIE should be inferred.

To determine patterns of allocated time, teachers and administrators can keep a record of the beginning and ending times of math and reading classes over a period of one week. To determine engagement rates, it is first necessary to identify and agree on behaviors that indicate students are engaged. Next, observers can scan classes once every two minutes for a period of 20 to 30 minutes to determine which students are engaged. Patterns of engagement within and between classes can then be discussed both on an individual and on a schoolwide basis (Caldwell and others, in Huitt and others, 1981). The faculty should be able to reach consensus on whether they spend enough time teaching basic skills and whether their teaching strategies encourage student engagement.

The second student behavior significantly related to achievement is coverage—the amount of content covered by the student during the school year, especially content tested on a standardized assessment instrument. The Instructional Dimensions Study, for example, indicates generally that more than 60 percent of the content on norm-referenced achievement tests needs to be covered for students to improve their percentile ranks (Cooley and Leinhardt, 1980). However, this same study shows that the amount of overlap between content taught and content tested ranges from a low of 4 percent for some students to a high of 95 percent for others.

Administrators and teachers can determine content overlap by matching standardized test objectives to the objectives of the text series used at each grade level. By checking the objectives covered during instruction, individual teachers and schoolwide groups can obtain necessary data for changing the instructional emphasis or using other tests that provide greater coverage of the content that is taught. In such a process, consensus can be developed around the instructional focus of the school.

Success, the third behavior, refers to how well students perform on classroom tasks. Several theories of instruction feature the importance of student success for achievement (Bloom, 1976; Skinner, 1968). They have been further supported by studies at the Far West Laboratory for Educational Research and Development (Fisher and others, 1978, 1979) and by the Research and Development Center for Teacher Education at the University of Texas (Crawford and others, 1975). Data from the Far West study indicate that, on the average, students spend only 50 percent of their time on tasks that provide for high success (that is, on assignments where they make only careless errors). Students who spend more than the average time in high success activities generally have better than expected scores in reading and mathematics.

*Teacher Behaviors.* Teachers taking stock of success in their classrooms might ask themselves, "Who won't pass Friday's spelling test?" or "Do most students, most of the time, complete written work easily and with relatively few errors?" Administrators might review teachers' grades when report cards are issued and conduct conferences with teachers whose students are failing. When observing classes, administrators should note the teacher patterns—such as calling on each student during each class period—that encourage student success.

In effective classrooms, teachers plan their instruction so that content to be tested later is covered in their lesson plans, which should also include procedures for monitoring student progress along the way. In addition, students' prior learning should be taken into account. Research has underscored the vital significance of attending to prior learning (Brady and others, 1977; Brookover and others, 1979; Cooley and others, 1980). Bloom (1976) estimates that 60 to 80 percent of the difference in student achievement scores is due to differences in students' past learning.

Implementing instructional plans requires teachers to use a number of techniques. Typically, research on specific instructional techniques—such as questioning, modeling, or providing feedback—and how they relate to student achievement reveals numerous and complex relationships. The effects of any single technique are quite limited. Nevertheless, several instructional models have been developed for different aspects of the teaching process. Among them are Mastery Learning (Block and Burns, 1976), Direct Instruction (Good and Grouws, 1979), and Diagnostic/

Prescriptive Teaching (Hunter, 1979). What makes them particularly applicable here is that the effects can be monitored for student involvement, coverage, and success.

A number of studies have shown that teachers' management skills are especially important for maintaining student involvement (Anderson and Evertson, 1978; Berliner, 1978; Emmer and Evertson, 1981; HEW, 1978). The most effective approaches to management build group cohesiveness, establish productive group norms, and develop positive teacher-student and student-student relationships (Duckett and others, 1980; Goldstein and Weber, 1981). An authoritarian approach whereby the teacher assumes full responsibility for controlling student behavior, often through the use of pressure and force, is significantly less effective.

Teachers and administrators need to determine if planning for instruction is taking place. In most schools, planning periods are set aside; in some, lesson plans are required of teachers, who receive periodic feedback from administrators. Some schools are experimenting with group planning by teachers on the same grade levels or content areas. Classroom management may warrant more individual supervision by administrators, especially at the beginning of the year when teachers instruct students in appropriate classroom behavior patterns (Emmer and Evertson, 1981; Evertson and others, 1980). Administrators and teachers can recognize patterns that promote successful classroom management, such as providing equal opportunities for all students to be involved. Improvement in teachers' planning and management strategies can be partially judged by student engagement and success and the amount of content they have covered.

*Positive Supervision.* Supervision creates the opportunity for increasing teachers' skills in planning, managing, and delivering instruction. In the process of supervision, the supervisor and the teacher explore patterns in their professional behavior and the meaning that each attaches to them. The goal of positive supervision is to improve professional practice so that both individuals become increasingly competent in performing their roles. If both the teacher and the supervisor agree that each has a role in contributing to student achievement, then patterns of student behaviors are an appropriate supervisory focus. The focus may also include the teacher's behavior in planning and implementing instruction and management strategies.

In positive supervision, the successful supervisor and teacher overcome conflicts that are inherent in the supervisory relationship. These conflicts are different during the five phases of supervision: entrance, diagnosis, technical success, personal and professional meaning, and reintegration (Squires and Huitt, 1981).

During the entrance phase of a positive experience in supervision, the task is to establish the format, goals, and expectations governing the supervisory relationship. In this phase the supervisor and teacher can set dates for classroom observations and planning lessons and reach agreement on the focus of the supervisory experience. If both agree that student academic achievement is one of the important goals of the school, then student involvement, coverage, and success can become the focus of their actions.

"In positive supervision, the successful supervisor and teacher overcome conflicts that are inherent in the supervisory relationship."

The task during the second phase is to identify a particular pattern needing improvement. For example, during a classroom observation, the supervisor may notice that students in the front of the room are more involved than students in the back.[1] The teacher and supervisor may choose to work on obtaining high involvement by all students.

During the technical success phase of positive supervision, the task is to change professional behavior. For example, the supervisor and the teacher may plan instruction so the teacher can move to the back of the room more frequently. The teacher may also compare the characteristics of students in the back of the room with those in the front, questioning whether his or her different expectations are contributing to students' behavior patterns. Several strategies may be tried out until the teacher feels competent in and comfortable with whatever changes are made. These strategies can be assessed by looking at student involvement.

Examining the meaning of the change and its implications for both the teacher's and the supervisor's professional and personal roles constitutes the fourth phase of positive supervision. For example, if the teacher thought that students in the back of the room were really not as able as those sitting in the front, then exploring this assumption with the supervisor may be helpful. They may decide that increasing the amount of interaction with students in the back may help change the teacher's beliefs about the behavior of those students. The supervisor, in turn, can explore different ways to "play" this supervisory role, thus promoting his or her own professional growth.

In the fifth phase of positive supervision, reintegration, both the teacher and the supervisor integrate their new competence into their professional repertoire. The teacher, for example, regularly checks his or her behavior to see that all students participate in classroom activities. In a successful relationship, the supervisor lessens the dependence of the relationship.

*Conflict* Any one of these supervisory phases has potential for conflict, which is inherent in the tasks of supervision. Figure 3 illustrates some examples of conflicts that both teachers and supervisors encounter in the supervisory process.

During the entrance phase, the supervisor must provide enough structure to get started without dampening his or her relationship with the teacher. The teacher, on the other hand, wants to improve but must submit to judgment in order to do so. During diagnosis, conflict centers on the issues of disclosure, judgment, and trust. The technical success phase is characterized by conflicts in overcoming procedural difficulties. During the personal and

professional meaning stage conflicts arise in efforts to maintain a balance between personal and professional issues. Finally, during the reintegration phase, conflict centers on reducing the supervisor's and teacher's dependence on each other, which develops naturally as part of any positive supervisory relationship.

Supervisc and teachers who can successfully address involvement, success, and coverage, and who can resolve the conflicts inherent in the supervisory process are likely to improve student achievement as well. What's more, they are likely to view the entire experience as a positive one that will enhance the effectiveness of the classroom and the school.

## Effective Schools

Schools with similar students and faculties can, of course, vary widely in academic achievement, safety, vandalism, student discipline, and student attendance. Leadership patterns and schoolwide norms can make it easier or more difficult for teachers and supervisors to plan classroom strategies so that students are involved, cover the necessary content, and succeed. (See Figure 4).

School norms are similar to the informal rules that govern any organization or group. For example, one norm that students may learn is that it is unacceptable to be late for classes. While a school may have many norms, three stand out in determining the school's effectiveness: academic emphasis, an orderly environment, and expectations for success. Many of the indicators of effective classrooms are also indicators of schools that succeed above expectations.

Effective schools are characterized by a strong emphasis on academics. Their teachers and administrators emphasize a curriculum of reading, writing, and math in a businesslike environment that promotes and reinforces disciplined work (Duckett and others, 1980) and instruction that absorbs much of the school day (Fisher and others, 1979). Teachers in effective schools spend more time on lessons (beginning and ending lessons on time) and provide periods of quiet work. In secondary schools, homework is given and graded regularly (Rutter and others, 1979). The school norm about academic emphasis promotes student involvement

**Figure 3. Examples of Conflicts in Supervisory Experiences.**

| Phases of Supervision | Teacher's Conflicts | Supervisor's Conflicts |
|---|---|---|
| **Entrance**<br>Example of a Task:<br>A structure for supervision (In other words, clinical supervision is discussed) | Being judged vs. knowing one could improve | Establishing appropriate formats and structures so that the teacher feels comfortable, while maintaining avenues for future growth |
| **Diagnosis**<br>Example of a Task:<br>The focus of supervision is decided upon; an agreement to work on that focus is made | Fear of disclosure of personal and professional inadequacies vs. professional concerns, trusting the supervisor | Sensing teacher's conflicts/problems while not making judgments |
| **Technical Success**<br>Example of a Task:<br>Supervisor and teacher experience success on the focus of supervision | Justifying the status quo vs. accepting, trying, and overcoming difficulties | Resisting imposing a "personal" schedule on the teacher, while ensuring that success (in the teacher's terms) happens, and encouraging teacher's continued growth |
| **Personal and Professional Meaning**<br>Example of a Task:<br>Supervisor and teacher examine what implications the success has for their professional role and personal lives | Disclosure to the supervisor of the more personal meanings of technical success | Controlling depth of involvement with teacher's more personal concerns while maintaining balance with professional change |
| **Reintegration**<br>Example of a Task:<br>Consolidation of meanings for professional and personal self, integration of technical success into professional repertoire, and disengagement from supervisory relationship | Feeling comfortable in using newly acquired skills and understanding while resolving conflicts about dependence on the supervisor | Letting go in a successful relationship while wanting to continue in this powerful stage |

**Figure 4. Dimensions of Schoolwide Norms and Leadership.**

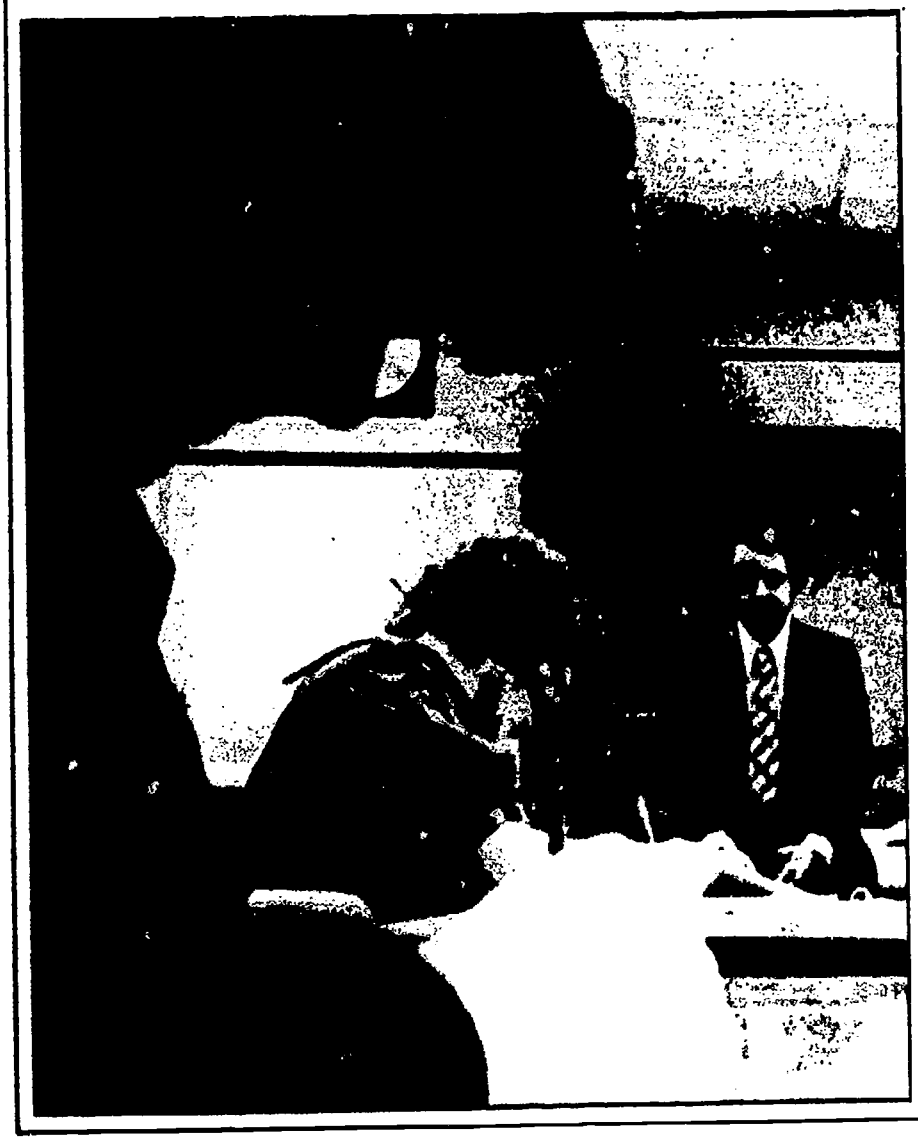
**Leadership**
Modeling
Feedback
Consensus
Building

**Schoolwide Norms**
Academic
Emphasis
Orderly Environment
Expectations for
Success

and coverage. Administrators can develop systems to occasionally check teachers' punctuality in starting and ending classes, and review their lesson plans to see whether homework is being assigned.

Students cannot be successfully engaged in academic work in a disorderly environment. Effective schools generally recognize a uniform standard of discipline, which is enforced by administrators, teachers, and students (Squires, 1980; HEW, 1978), and is fair to students (HEW, 1978). Teachers and administrators can foster an orderly environment by permitting students to hold positions of responsibility and by publicly recognizing their contributions (Rutter and others, 1979). Classroom routines also promote an orderly environment—lessons start and end on time; students bring books, pencils, and folders to class; and teachers give and correct homework (Rutter and others, 1979). Students are more likely to be engaged if classroom routines and discipline procedures help keep them on task.

In effective schools, students are expected to succeed in reaching the goals set for them. Student success is built into lessons, and teachers provide consistent rewards for demonstrated achievement (Brookover and others, 1979). Standards for achievement in effective schools are high, yet reasonable (Duckett and others, 1980), and students expect to master their academic work and graduate from high school (Brookover and others, 1979; Rutter and others, 1979). They feel that teachers care about their academic performance and that hard work is more important than luck. Students have a sense of control over their environment as a result of having been successful in the past (Coleman and others, 1966). Note again the relationship between schoolwide norms and student success. Administrators might take stock of teachers' expectations by asking them to describe the reasons for a student's failure. If failure is ascribed to family background or place of residence, then the teacher's expectations may be contributing to the student's lack of success.



Three leadership processes build and maintain school norms: modeling, feedback, and consensus building (Squires, 1980). Leadership generally comes from the principal, although teachers may provide it as well (Duckett and others, 1980).

Principals, in particular, model appropriate behavior. They support inservice programs, monitor classrooms and supervise instruction, and provide time for teachers to plan together (Rutter and others, 1979; HEW, 1978). By doing so, they set the tone and focus of the school. Even paying attention to faculty punctuality reinforces the principal's concern for how school time is spent (Rutter and others, 1979). Conversely, principals can provide negative models. If the principal believes students are not likely to learn, then the principal is not likely to be concerned about whether the staff devotes enough time to instruction either (Brookover and others, 1979).

Feedback that supports and recognizes successful academic performance and appropriate behavior is also more likely to occur in effective schools (Brookover and others, 1979; Rutter and others, 1979; HEW, 1978). Principals give teachers feedback by observing classrooms, conferring with teachers about instructional issues, and providing inservice to enhance teachers' skills (HEW, 1978; Wynne, 1980). They see that formal punishments are administered swiftly and they monitor the faculty to reduce verbal humiliation and unsanctioned violence against students (HEW, 1978). In short, the principal's actions communicate that "praise, rewards, and encouragements need to outweigh negative sanctions" (Rutter and others, 1979).

Developing consensus about academic focus and behavior expectations is a third continuous process in effective schools. Consensus is generated by schoolwide projects for change and by appropriate and consistent models and feedback (Duckett and others, 1980; Wynne, 1980).

Again, the principal is pivotal in developing this consensus (Austin, 1979; Edmonds, 1979; HEW, 1978). Principals of effective schools have a focus in mind when running their schools (Duckett and others, 1980). The principal sees that school goals are set, guides the development of a consensus around those goals, and systematically checks to see that the school is operating accordingly. In schools where students and faculty perceive a consensus on discipline and academics, school outcomes are generally high (Rutter and others, 1979; HEW, 1978). Administrators can determine consensus in a school by asking students, teachers, and support staff about the purpose of the school and how that purpose is carried out. If the answers have a similar focus on the academic program and procedures, then a schoolwide consensus has probably developed.

**Summary**

It is often difficult to determine which aspects of the classroom or the school should receive particular attention when making efforts to improve student achievement. Should emphasis be placed on buying a new text? Hiring new teachers? Adopting a new instructional strategy? Restructuring the school? Firing the principal? Our suggestions can help educators make such decisions and succeed in their improvement efforts without having to wait for results of annual measures, such as standardized achievement tests. The effects of change then can be more immediately and directly assessed throughout the school year. ■

[1] Instruments that are easily used by supervisors and teachers to collect classroom data and produce data similar to that gathered using the original research instruments are becoming increasingly available (Huitt and others, 1981; Segars and others, 1981).

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# Six Types of Supervisory Conferences

**Madeline Hunter**

*Every conference between teacher and supervisor should have a primary purpose. If the purpose is instructional improvement, there are five ways to go about it.*

With a feeling of dread, many teachers, principals, and supervisors face that encounter labeled "the supervisory conference." Often, to eliminate the discomfort, it is turned into a brief, mutually laudatory, social interaction. "You're a fine teacher; I've marked you outstanding in every category. Sign right here and tell me about your summer vacation plans." "Thank you, you're a mighty nice principal too; we're thinking of a motor trip to Canada." You will doubtless recall similar situations in which you may have participated as either teacher or supervisor.

Why is this potentially productive situation so often sterile? Why aren't more educational benefits reaped from that precious and costly conference time, often occurring before or after school when other tasks need doing? The answer is the same as the answer to the question, "Why didn't we land on the moon earlier?" We didn't know how!

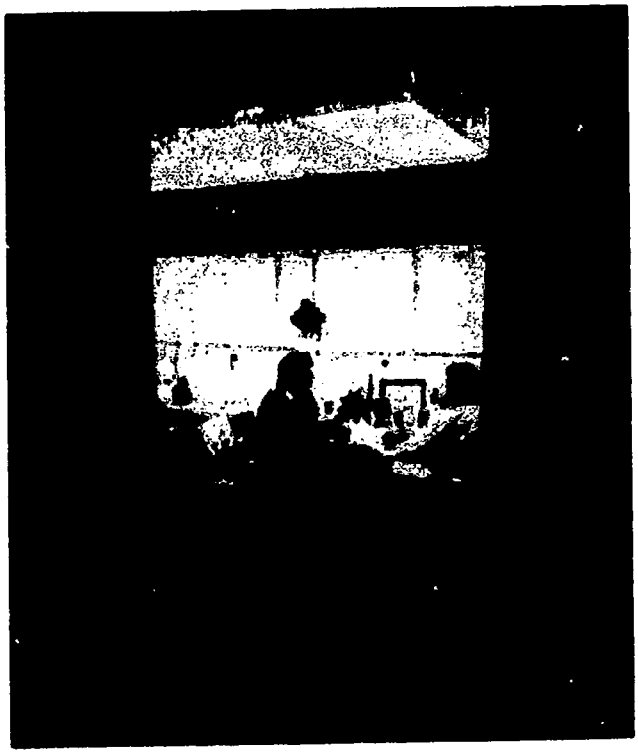

*Photo: Joe Di Dio, NEA.*

This is not to deny that many administrators and supervisors have intuitively been doing a reasonably effective job of conferencing with teachers. Intuition, however, is a poor substitute for professional competence. We now have the knowledge, and the common vocabulary needed to transmit that knowledge, to develop competence in holding conferences.[1] Four important generalizations can be made about the different purposes and outcomes of supervisory conferences:

1. *Supervisory conferences have two discrete functions.* The most important conference function is promotion of the teacher's growth in effective instruction: the business of the school. Conferences designed to improve instruction must be both diagnostic and prescriptive and are more accurately labeled *instructional conferences.* If they are successful, the teacher will subsequently demonstrate increased instructional effectiveness and the quality of education in the school will be enhanced.

A secondary function of a supervisory conference is evaluation. The objective of an *evaluative conference* is that a teacher's placement on a continuum from "unsatisfactory" to "outstanding" will be established and the teacher will have the opportunity to examine the evidence used. An evaluative conference should be the summation of many instructional conferences. Assessment of teaching should not be based solely on a teacher's current performance, but should reflect the teacher's potential for growth. Evidence for that may be found in his or her response to, and the improvement resulting from, previous instructional conferences.

2. *A supervisory conference should have a primary purpose.* Most of the conference time and communication should be directed to a primary objective. This is not to say that there may not be other related

[1] Gerda Lawrence and Madeline Hunter, *Parent-Teacher Conferencing*, El Segundo, California: TIP Publications, (1978).

*"No instructional conference will be successful unless the observer utilizes and models those cause-effect teaching and learning relationships that promote both teachers' and students' achievements."*

objectives, but none antithetical to the primary purpose should be included. (Making a weak teacher feel that with increased effort success is possible and convincing him/her to choose a different occupation could both be valid objectives but not in the same conference. Convincing an inexperienced teacher that he/she is improving and identifying a major teaching deficit are antithetical objectives.)

3. *The principles of learning that apply to students also apply to teachers.* If in the conference the administrator or supervisor uses principles of learning appropriately, a teacher's learning will be increased. If those principles are abused or ignored, teacher growth is hindered. Unless the supervisor or principal is skilled, he/she is apt to violate the very principles the teacher is being asked to learn. For example, a principal and I observed one teacher work with a group of students in an extremely negative manner, criticizing, pointing out errors, never commending correct responses or productive behavior. In the subsequent principal-teacher conference, the principal opened with, "Do you realize that you never said one positive thing in that whole lesson? All you did was emphasize what was wrong. . . ." The conference continued in the same vein with the principal completely unaware that she was modeling the very behavior she was attempting to change in the teacher.

4. *Teaching is behavior and can best be improved through analysis of that behavior.* In order to secure the information essential to a successful instructional conference, the supervisor must have observed an episode of teaching. The observation time can vary from a few minutes to a half hour. The writer's experience is that a 10- to 20-minute observation yields at least an hour of conference material. The observer must possess the skills of recording and analyzing what occurs. The teaching behaviors observed must then be interpreted and categorized as (a) those that promoted learning; (b) those that used precious time and energy yet contributed nothing to learning; and (c) those that, unintentionally, actually interfered with learning. Interpretations must be supported by the findings of research and the records of the observation. The ability to analyze an episode of teaching is a supervisory skill that can be mastered by those determined to learn it. Professional analysis of instruction is a far cry from the useless global platitudes of "loves children," "dedicated," "committed," "nice voice and manner," which in the past have glossed over instructional strengths and deficits.

**Instructional Conferences**

When the supervisor has analyzed an observed episode of instruction, he or she needs to make a diagnostic judgment as to which of five possible objectives should be the primary purpose of the conference.

1. Type A Instructional Conference—*Purpose:* To identify, label, and explain the teacher's effective instructional behaviors giving research-based reasons for their effectiveness so the teacher knows what he/she has done and why it worked, and in the future can do it on purpose. *Objective:* At the end of the conference (not in some nebulous future) the teacher will identify teaching decisions and behaviors that promoted learning and state why they were effective.

To achieve this objective, the observer focuses only on those aspects of instruction that were effective and brings those decisions and behaviors to the conscious awareness of the teacher who then has an opportunity to learn reasons for their effectiveness.

- *Example*—Observer: "Your moving over and standing by John's desk when he wasn't listening was an excellent technique Everyone is more obedient when the authority figure is close. That's what happens to all of us when we see the police car in the rearview mirror. Then, your using John's name in an example about his being a good ball player not only built his self-concept and caused him to listen, but paired his interest in athletics with your lesson on sentence patterns so his positive feelings about athletics could 'rub off' on grammar. You used three excellent instructional techniques: physical closeness, use of the student's name in a meaningful example, and pairing the student's interest with academic content."

For a first conference or with apprehensive or defensive teachers, Type A objectives may be the sole outcome of a productive instructional conference. Effective behaviors are brought to a conscious level and, as a result of knowing why they were effective, the teacher can use them deliberately and

appropriately in the future. Also, because the conference message is positive, a teacher will more productively engage in subsequent conferences.

2. Type B Instructional Conference—*Purpose:* To stimulate the development of a repertoire of effective teaching responses so the teacher is not limited to those most frequently used. *Objective:* Teacher and observer will generate alternatives to behaviors which were effective in the observed lesson in case they should be less effective in a different situation.

All of us tend to become habitual in our responses, and as a result we may close off the development of new responses from which we can deliberately select the one that holds the greatest promise in a specific situation. Teachers can become set in their patterns of presentation, discipline, homework, or practice, thereby reducing flexibility in their teaching. Type B conferences are designed to break this encapsulation and create new options.

- *Example*—Observer: "Standing by Bill's desk and using his name in a complimentary example was very effective. With most students that will work. What might you do if it didn't?"

In a Type B conference, teachers are encouraged to generate alternatives that fit their particular style. The observer also is obligated to suggest additional strategies so teachers have the opportunity to develop alternatives they may not have known about or considered.

Note that Type A and B conferences focus only on effective teaching; something singularly neglected in most conferences. Professional growth results from the teacher knowing what made an action effective and from considering other potentially effective techniques.

3. Type C Instructional Conference—*Purpose:* To encourage teachers to identify those parts of a teaching episode with which they were not satisfied so that, in collaboration with the observer, strategies for reducing or eliminating future unsatisfactory outcomes will be developed. *Objective:* The teacher will identify solutions with potential for changing unsatisfying aspects of the lesson.

- *Example*—Teacher: "I assumed the students would have remembered the material. I was disappointed to see how much of it they had forgotten." Observer: "It's not unusual that we assume students remember and they don't. What might be done to eliminate that situation?"

While the teacher is given the first opportunity to suggest solutions, it is also the obligation of the observer to pose possible solutions—or to acknowledge that he/she can't think of any. Instructional conferencing is not a spectator sport.

- *Example*—Observer: "Sometimes a quick check to see if students remember the process needed will not only help them recall it, but will alert you if they don't. You might do one example together on the chalkboard. That can serve as a warm-up and a reminder before you move on to new material. If they've forgotten, you can reteach right then when it's needed."

Note that in Type A, B, and C conferences not one single negative or critical note has been introduced by the observer, yet each conference has tremendous potential for teacher growth in instructional effectiveness.

4. Type D Instructional Conference—*Purpose:* To identify and label those less effective aspects of teaching that were not evident to the teacher and to develop alternative procedures that have potential for effectiveness. *Objective:* The teacher will select alternative behaviors he/she might substitute for behaviors perceived by the observer (and hopefully by the teacher) as not so effective.

Identification of "what went wrong" is the most commonly perceived objective of an instructional conference, yet among the five possibilities for conferences that promote teacher growth it is the only one that has potential for injecting a negative note in supervisory communication.

Type D conferences, however, need not be negative. It is a positive experience to have perplexing instructional situations become understandable through interpretation by an observer. I once had the experience of having what seemed an incomprehensible lack of teaching success explained by an observer as the result of an inadvertent teaching miscue at a critical point in the lesson. Finding out what caused the trouble was the only information necessary to eliminate it. In a Type D conference the observer has the major, and sometimes sole, responsibility for identifying cause-effect relationships between teaching and student responses, and for generating alternative teaching decisions and behaviors that might be more productive.

In conducting a Type D conference, it is critical that the observer discipline him/herself to generate ways the teacher, with that teacher's particular skills and style, might teach the lesson—not how the observer would have taught it. Type D conferences can be conducted only by an observer who knows learning principles, knows how to analyze the process of teaching, and knows how to bridge the gap between theory and practice. I emphasize again that these skills can be learned by most educators who are willing to put forth the time and the effort. Rarely should a teacher experience only a D conference. However, when Type A, B, and C conferences produce little or no instructional improvement, a Type D conference must be used to communicate data that confirm teach-

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ing performance as unsatisfactory—the kind of data that will, if necessary, hold up in court.

5. Type E Instructional Conference—*Purpose.* To promote continuing growth of excellent teachers. *Objective:* The teacher will select next steps in expanding his/her own professional growth.

We have learned to challenge gifted students to encourage continuing growth, but often our gifted teachers are left to provide their own stimulation or to become bored and atrophied. Countless principals have remarked, "I don't have to worry about ———, he/she is an excellent teacher." By not contributing to such a teacher's continuing growth, supervision is neglecting education's most powerful resource. A Type E (for excellent) conference is designed to promote growth beyond that which the teacher alone can generate.

• *Examples*—Observer: "That was a superb lesson. Would you be willing to put a similar lesson on videotape so we can use it to help new teachers?"

"Your ability to draw out shy students is remarkable. Will you go over your lesson with me to help me understand the cues that tell you when to push students and when to back off?"

"You have the skills to pilot this new program so we can identify strengths and weaknesses before we consider its adoption for the whole school."

"Your skills are such that others should be learning from you. Would you be willing to take a student teacher? You will grow from explaining why you do what you do, and the student teacher will have the advantage of not only learning about effective teaching but seeing it modeled daily."

The reader may be raising the question, "Isn't teaching excellence enough? Why should we be asking for more?" The question is the same as, "Why don't we just let the gifted learner do an excellent job at grade level? Why do we stretch thinking and performance?" The answer to both questions is: Growth is invigorating and self-actualizing. We do students and teachers a disservice when we do not permit, encourage, and demand that growth.

Sometimes it is difficult to identify next steps for the outstanding teacher, but acknowledging that a teacher is ready for and needs a new challenge will encourage both of you to think of productive possibilities.

For the gifted teacher who has just achieved a new competence and has earned a respite, a Type A conference, with the teacher assuming the responsibility for identifying effective teaching actions and labeling the cues which indicated they might be effective, has the potential of bringing internalized and automated professional behavior to a conscious level for sophisticated analysis.

### Successful Instructional Conferences

The objectives of the five types of instructional conferences are not mutually exclusive; and observer and teacher are encouraged to mix and match. Four conferences are totally positive and the fifth (Type D) has the potential for being either positive or negative depending on the skills of the observer. No conference can be predictably successful unless the observer possesses the professional skills of analyzing instruction in terms of cause-effect relationships and generating solutions to instructional problems. Beyond analytic skill there exist communication skills, which are teaching skills that achieve the objective of an instructional conference. No instructional conference will be successful unless the observer utilizes and models those cause-effect teaching and learning relationships that promote both teachers' and students' achievements.

### Evaluative Conferences

An evaluative conference should be the summation of what has occurred in and resulted from a series of instructional conferences. Information given and conclusions reached in an evaluative conference should come as no surprise to the teacher because the supporting evidence has been discussed in previous instructional conferences. As a result, the evaluative conference has high probability for being perceived as fair, just, and supportable by objective evidence rather than based on subjective opinion. This conference is the culmination of a year's diagnostic, prescriptive, collaborative work with a teacher and supervisor who shared responsibility for the teacher's continuous professional growth.

This growth will occur more rapidly and predictably if the teacher's effort and growth is rewarded, and any professional gaps or deficiencies are interpreted in perspective rather than being overemphasized because a teacher doesn't immediately become the perfect model of the ideal educator. When administrators and supervisors work with teachers as teachers are expected to work with students, supervision will become a more highly skilled and respected function in our profession. EL

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*CS holds more promise as a coaching system than an inspection system.*

# CLINICAL SUPERVISION IN THE 1980s

KAROLYN J. SNYDER

In the past five years the burgeoning interest in clinical supervision (CS) on the part of scholars and practitioners has resulted in a profusion of books and articles on the subject. Not only are there more CS action labs and workshops available but school districts are also seeking CS consultants in greater numbers.

Perceptions in the 1980s about the skill needs of teachers could shape clinical supervision (CS) into little more than a refined teacher inspection technology unless educators embrace a comprehensive teacher development system. If we perceive, I think erroneously, that teachers already have most of the basic knowledge and skills necessary to facilitate student mastery of certain competencies, then CS (through observation and data collection) could be expected to evolve into a sophisticated inspection system for ensuring appropriate instruction.

Most districts today are examining teacher performance closely and setting tough performance evaluation criteria. Preoccupation with evaluation forms and methods suggests that many districts will be lured into stringent patterns of "inspection supervision" and thereby lose sight of the emerging development role needs of staff.

If, on the other hand, we perceive that most teachers are not yet highly proficient in personalized kinds of instruction, CS could emerge less as an evaluation tool and more as a coaching system to assist teachers in acquiring proficiency in facilitation of student mastery of knowledge and skills.

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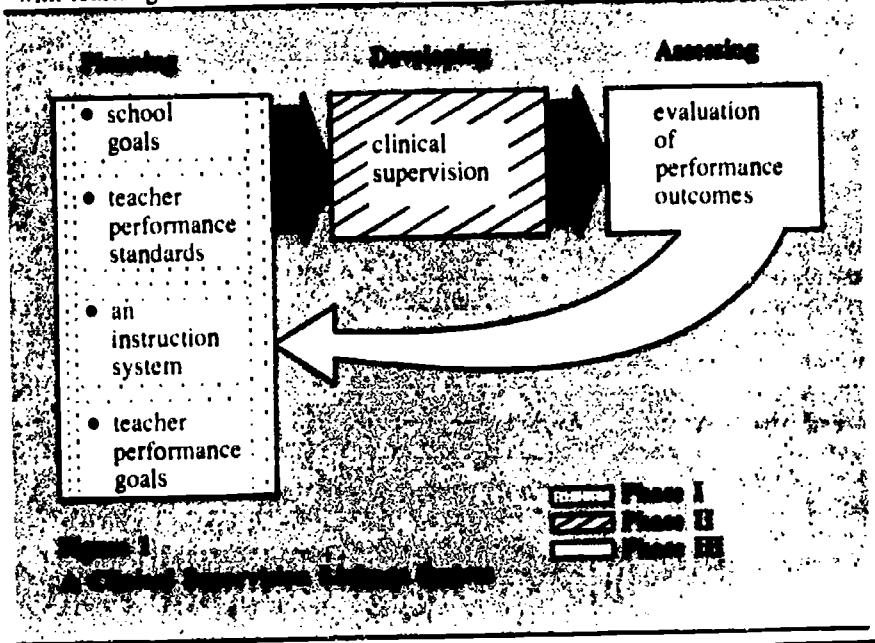
By definition, CS, an important branch of general supervision, focuses on helping teachers improve their performance through the analysis and feedback of observed events in the classroom. It emerged during the human relations era of management, during which time school people came to understand the contribution of a healthy climate to learning results. A general lack of definition for instruction and learning, however, may have prevented CS from progressing much beyond the "climate" focus (Sullivan, 1980, p. 27).

Until recently, CS has made little observable impact on learning directly, and consequently on the field of supervision. Practitioners, however, are providing the kind of accountability context today for linking a healthy learning climate with tentative definitions of instruction and with learning results.

## A Performance Linkage System

The purpose is to present a CS model for the 1980s that addresses both healthy climates and tougher performance standards for both adults and students. The CS Linkage System shown in Figure 1 provides a conceptual model for linking performance standards and goals with continuous on-the-job coaching and with subsequent evaluation. Phase I (Planning) combines standards of performance with planning processes to determine the emphasis for a teacher's performance within a given year. Phase II (Developing) supplies one kind of growth opportunity: CS, a system for enabling teachers to achieve their expected levels of proficiency. Phase III (Assessing) analyzes teacher achievements as they relate both to the standards and to stated growth priorities. Within this systems context, CS becomes a legiti-



mate helping technology, enabling professionals to develop requisite skills for fostering the kinds of learning expected in the 1980s.

**Phase I: Planning**

*School Goals.* The performance of teachers occurs within the context of a school's social system, which has its established norms and priorities. In order to survive, a school today needs to become aware of its own ecology and to define its growth priorities each year. Strong school leadership, a healthy climate, and flexible organization all seem to affect teaching significantly and thus affect learning. Consequently, school improvement priorities each year need to reflect more than the deficiencies of the curriculum or of individual teachers, and to relate to all the areas of school life which affect instruction.

Areas of school improvement might include communications systems, learning practices, instructional patterns, program development, planning systems, and student involvement. If a school decides, for example, to develop a personalized reading program for all students which includes a reading skills lab along with an individual reading program, then teacher performance goals, clinical supervision, and evaluation would focus on improving instructional effectiveness to match the desired reading program results.

*Teacher Performance Standards.* General job descriptions for teachers are now giving way to more comprehensive categorical definitions of role performance outcomes. Satisfactory teaching performance grows out of several different activities: instructing students, developing programs and materials, and being supervised in order to improve teaching skills. To illustrate the shift in procedures and emphasis, a categorical performance system, developed in 1979 for teachers in a Texas elementary school, identified performance expectations and also provided the focus for supervision and evaluation in the following areas: classroom instruction, classroom organization and management, student learning, program development, content expertise, professional growth, and interpersonal collaboration.

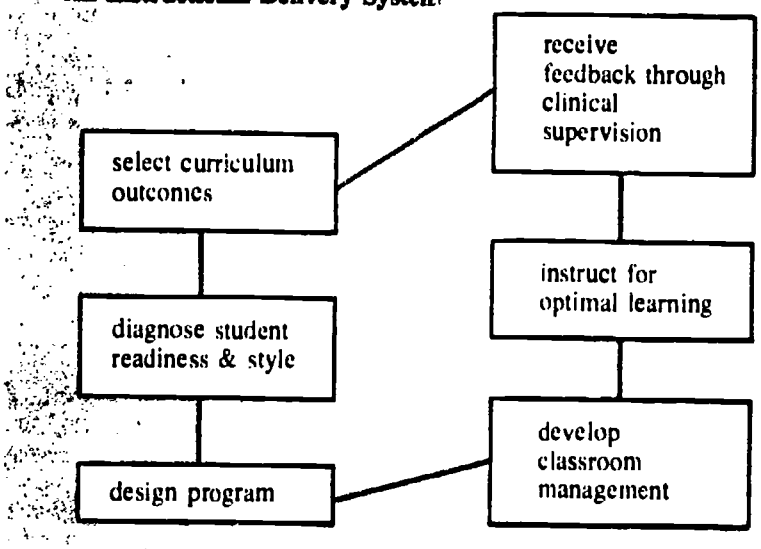
*Teacher Performance Plans.* To ensure that school goals are achieved and that performance standards actually guide practice, personal goal setting and planning is essential. We no longer can expect teachers merely to "get in gear," for example, for teaching the gifted. Teachers need a mechanism to assist them in developing specific skills, and equally important, for keeping them focused on their goals.

Studies of performance systems in business and industry continue to rate Management by Objectives (MBO) systems as being far superior to the more familiar rating and ranking systems (Cummings and Schwab, 1973, p. 97). The key to MBO's success lies in its involvement of workers in defining personal as well as organizational priorities, and in defining the focus for their professional contributions and growth and subsequent evaluation. Abundant evidence from organization studies suggests that goals are an important determinant of performance.

The guessing games that plague so many evaluation systems are eliminated through planning as the professional is brought into the decision-making process. In the aforementioned Texas school's MBO system, each teacher participated in determining growth priorities for the entire school, and subsequently, each set his or her goals in relation to those priorities, meshing them with the performance standards categories. For example, a teacher's goal might be to develop a management system for implementing the school's new reading program in the middle grades. This goal then becomes one of the goals of supervisory coaching for the year, and eventually a focus for teacher evaluation.

**Figure 2**

**An Instructional Delivery System**




*An Instructional Delivery System.* As noted earlier, one of the criticisms lodged against CS is its lack of instructional definition. The instruction system shown in Figure 2 provides a specific guide for teachers and supervisors to use as they seek to improve instructional skills.

LINK 1: The district *curriculum* must define those learning outcomes expected for all students, which form the standard for measuring school success.

LINK 2: Teachers must *diagnose* each child's entry characteristics. Bloom (1976, p. 169) has observed from his studies that the diagnosis of learning needs represents 65 percent of the variation in school achievement—an alarming finding given the small amount of attention now usually given to diagnosis. Further, learning style preferences and cognitive processes also play an important role in learning and therefore must be anticipated.

LINK 3: Following a selection of curriculum outcomes and based on a diagnosis of learning needs, interests, and styles, a *program for learning* must be designed to define specific outcomes, activities, groupings, expectations, and so on.

**Tips On Getting Started In Clinical Observation**

Select exemplary teachers for initial practice in data collection.

Select a few exemplary teachers on whom to practice the five stages of the observation cycle.

Include volunteer teachers as observers in initial observation cycles.

Videotape observation cycle stages and critique your effectiveness.

Select only a few observation items for initial practice (such as time on task).

Learn from your teachers those techniques which facilitate learning.

Build a bank of data collection instruments.

Build a bank of effective instructional practices.

Build a bank of helpful conference feedback techniques.

When you feel confident in the observation cycle techniques, plan a CS program for your staff as defined in the CS linkage system.

LINK 4: Next, decisions need to be made regarding appropriate *organization and management* of such things as instructional space, materials, personnel, time, and records.

LINK 5: Time spent in actual *learning and instruction* follows comprehensive and continuous needs assessment and planning. Bloom (1976, p. 115) has identified four instructional variables that appear to link directly to student achievement, providing teachers and supervisors with a sound base for planning instruction. These include: (a) teacher cues and directives (procedures and expectations); (b) student participation (planning, time on task); (c) teacher reinforcement of expected performance; and (d) teacher feedback and correctives regarding effective progress and results.

LINK 6: CS forms the final link in the instruction chain by providing a supervisory feedback and corrective mechanism for instruction and learning, and also for the effectiveness of diagnosis, program design, and the management plan. Teachers and supervisors can use the instruction system for initial planning and also for guiding problem solving and coaching.

**Phase II: Developing**

*Clinical Supervision.* Many development opportunities are available to teachers. Inservice training, college courses, and personal readings can provide new knowledge and skills. Similarly, organizational activities, such as participating in curriculum development, provide additional kinds of learning experiences. The process of organizing teaching and learning activities generates its own kind of personal knowledge and skill. CS, another development mechanism, provides teachers with useful feedback and correctives on instruction.

Until now, CS has been equated with the specific methodology of the observation cycle, which was developed in the 1960s. To meet the developmental instruction-related needs of teachers in the 1980s, CS can provide a philosophical as well as methodological framework for teachers and supervisors to use as they work together to raise norms of student mastery. What is needed today is a way of thinking about supervisory coaching in which the observation cycle methodology serves as a flexible technology.

Anderson and Krajewski (Goldhammer and others, 1980, pp. 1-11) in their recent revision of Goldhammer's landmark work on CS, have observed that preoccupation with CS methodology (the several stages of the classic observation cycle) is now giving way to a larger concern for underlying concepts. CS is conceptualized by them as:

—a technology for improving instruction

—a deliberate intervention into instructional processes

—goal-oriented, combining school and personal growth needs

—a working relationship between teachers and supervisors

—requiring mutual trust

—a systematic process that requires a flexible methodology

—an approach that generates a productive tension

—assuming that the supervisor knows more about instruction and learning than teachers

—a system that requires training (pp. 26-27).

These nine concepts are the foundation for effective clinical supervision today. The concepts enable us not only to understand and practice observation processes more effectively, but, perhaps more important, to develop a mindset or belief system about a goal approach to coaching teachers.

Given the conceptual framework noted earlier, the specific CS methodology known as the observation cycle becomes a useful guide for supervisory practice. Briefly stated, the classic observation cycle includes the following five stages:

1. *Pre-observation conference:* a contract between a teacher and observer regarding the purpose of the specific observation.

2. *Observation:* Actual data collection of events in the classroom as it relates to the contract mentioned above.

3. *Analysis and Strategy session:* Review and interpretation of collected data as they relate to the contract and to pedagogical theory and research.

4. *Conference:* Feedback to the teacher on the observed teaching/learning segment; preparation for "next steps."

5. *Post-observation critique:* Joint analysis of the usefulness of the foregoing observation cycle activities.

Each cycle should be viewed as one of many successive events, all geared to both long-range and short-range goals and all inter-connecting in a developmental process.

**Phase III: Assessing**

*Performance Evaluation.* Bloom (1976, pp. 215-216) concluded from his studies on school learning that 95

percent of all students can learn everything schools expect of them if the learning conditions are right. Extrapolating this concept, let us hypothesize that 95 percent of all teachers can also perform successfully if the conditions for their development are right. The CS Linkage System described here assumes that the "right conditions" will include the following school activities for teachers: (1) an analysis of improvement needs (for the school and individual teachers); (2) determination of specific growth goals; and (3) selection of appropriate learning opportunities. If under these conditions virtually all teachers are potentially capable of succeeding and of contributing to the school's success, then it follows that most of the available supervisory energy should focus on coaching activities.

In this model, evaluation is based on progress made toward agreed-upon goals. Evaluation results not from one or two inspection visits a year, but rather, from a comprehensive and extensive process involving supervisory feedback, correctives, and replanning. Performance evaluation is a summary of what has already occurred; the stated goals, evidence of progress and of supervisory involvement.

If a teacher is unsuccessful, there may be one of three possible explanations: (1) the goals and/or the supervision were inappropriate; (2) the teacher for some reason decided not to accomplish the agreed-upon goals; or (3) the teacher belongs in another profession. In the case of 1, a revised supervisory plan may foster success. In cases 2 and 3, the teacher needs either to be placed on probation or counseled into another job.

Probation decisions, which are problematic for most administrators, require a different kind of supervision from that described here. Some are now referring to such efforts as "due-process supervision." In such cases the administrator develops a plan of "musts" to be achieved within a given time frame, along with a plan for supervision, monitoring, and evaluation. The burden is placed on the teacher either to produce certain results or to leave. It should be noted here that dismissal activities never convert into growth for the school, they merely rid the school of a negative force. If schools are to reach beyond their current performance norms, priority supervisory energy must be devoted to developing professional excellence through on-the-job coaching, not through dismissal preparation.

**Summary**

CS can be used primarily as part of an inspection system, designed to reinforce and maintain traditional practices in which teachers are presumed to be adequately trained. When so used, it becomes less a helping technology and more an evaluation technology. However, CS offers far more promise when viewed as part of a comprehensive teacher development system that aims at more ambitious goals (especially for learners) and that assumes teachers have need for continuous extension and refinement of their skills in goal setting, diagnosis, program design, organization and management, instruction, and responding to supervisory assistance.

CS has the potential for enabling teachers and administrators to break out of isolated and outdated practices and to achieve new performance norms. Perhaps, one day, teacher evaluation will resemble a convocation or celebration of the achievement of the summa cum laudes, the magnas, and the cum laudes. CS, used as a coaching system, has the potential for catapulting schools into a new set of standards for excellence. ■

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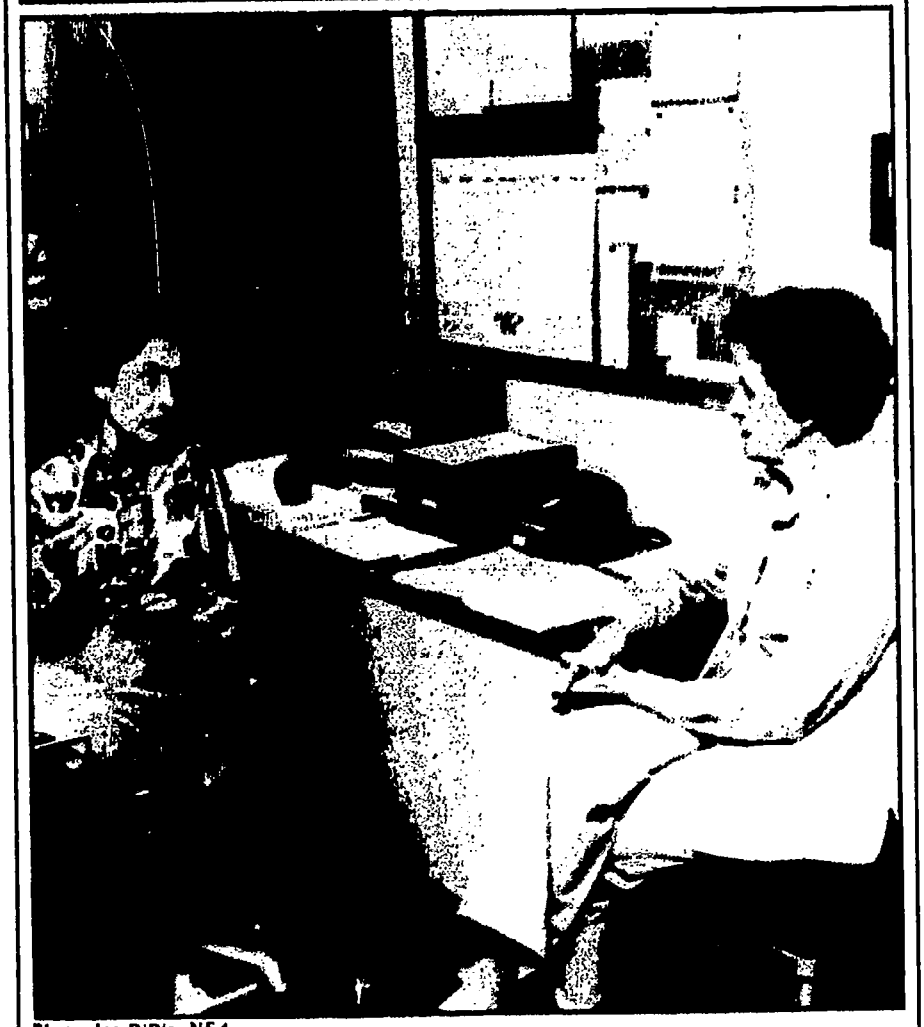
**The Conference Category System helps supervisors analyze their conferences with teachers.**



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# A SYSTEMATIC APPROACH TO IMPROVING CONFERENCE SKILLS

RICHARD KINDSVATTER AND WILLIAM W. WILEN

Of all the skills that contribute to a supervisor's effectiveness, none are more crucial than those related to conducting conferences. Research indicates that the success of a conference depends on the social-emotional climate created by the supervisor. By its nature, a conference induces some level of anxiety in the teacher. If the supervisor remains indifferent to this condition, the positive results of the conference may be undermined. The supervisor's skillful interpersonal communication with teachers has a direct impact on immediate and long-range instructional improvement.

How can supervisors identify critical conference behaviors? Even more important, how can they determine the impact of those behaviors on teachers? The Conference Category System (CCS) is a systematic and practical approach for supervisors to use in identifying and analyzing their conference-related behaviors.

The approach is systematic in that it provides specific, relatively objective data in categories related to the goals of the conference. The approach is also practical in that it requires only a brief orientation, demands little time and effort, and provides data in a form that is immediately useful.

## Procedure

The Conference Category System focuses on nine of the most important skill areas in which supervisors should be competent to increase the probability of a successful conference: (1) Climate building, (2) Target setting, (3) Questioning, (4) Commentary, (5) Praise, (6) Nonverbal communication, (7) Balance, (8) Sensitivity, and (9) Closure. The instrument consists of three sections: (1) a description of each of the skill areas, (2) a set of pre- and post-questions pertinent to conference related skills, and (3) an analysis form to estimate levels of skill attainment.

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The CCS can be applied using either a shared-analysis or self-analysis approach ideally in conjunction with a video or audiotape recording. (The audiotape precludes using the nonverbal category.) An observer must be present during the conference with a recording device for the shared-analysis approach; a recording instrument alone is necessary for self-analysis.

A unique feature and a particular advantage of the CCS is its two-dimensional analysis. The form includes two columns, one headed "Occurrence" for recording the extent to which each component is evident, and another headed "Effectiveness" for estimating the supervisor's skill in performance. These two kinds of data —descriptive and evaluative—contribute to comprehensive analysis.

The following steps are recommended for applying the CCS approach:

1. Become familiar with the conference skill areas.
2. Respond to the pre-conference analysis questions.
3. Conduct a conference. A tape recording is necessary for the self-analysis approach and preferable for the shared-analysis approach.
4. Analyze the conference by completing the analysis form using the taped playback (self-analysis) or complete the analysis form with the observer.
5. Respond to the post-conference analysis questions.
6. Repeat steps 2-6 on a subsequent similar conference if skills need further improvement.

**Conference Categories**

1. *Climate*—Human feelings, attitudes, perceptions, and predispositions always influence interaction. The supervisor, therefore, needs to use these factors productively.

Teachers who are being observed, and whose teaching is subject to close scrutiny, possibly evaluation, can be expected to be apprehensive. The supervisor has the immediate concern, then, of allaying undue anxiety, and convincing the teacher that the supervisor is there to help and support, that they share a common purpose toward which they can cooperatively direct their efforts.

Climate building, therefore, is crucial. In those cases in which the supervisor and teacher have already established familiarity and a trust relationship, attention to the climate may be more in the nature of maintaining than of building, and may be more covert than apparent. When a sound relationship is not already implicit, the supervisor must work at developing a climate of productive communication.

Climate building, of course, is the application of good human relations principles to the conference setting. The supervisor needs to be perceived as a friendly, good-humored, unassuming yet competent person. He/she needs to be unselfconscious enough to attend fully to the purpose of the conference. Then such comments as

> **"the greatest barrier to communication is the tendency of people prematurely to judge. . ."**

"You're doing some things in your classroom that I'd like to know more about," "This is one of the friendliest schools I can imagine," and "How did you manage to write a study guide with all the other paper work you have?", become very natural sounding—and, in fact, are natural—within the supervisory approach.

2. *Target Setting*—A formal conference should be preplanned and prepared for, contingent on the available time and relative importance of the conference. If, for example, the conference immediately follows an observation of a teaching episode, there is no opportunity to organize material and prepare an agenda. In this case the notes made during the episode constitute ad hoc target items, and are preferable to relying solely on one's glibness. At the outset of the conference the topics to be discussed should be mentioned. If, on the other hand, the purpose of the conference is to evaluate the teacher's performance over a considerable period of time, preparation of a formal nature would be expected.

Both parties should have an opportunity to suggest items to be discussed. A few moments should be spent agreeing on these and ordering them on the agenda. A sense of direction will then be imposed, and this in turn should promote a sense of comfort, especially on the part of the teacher; there is less likelihood of "surprises."

3. *Questioning*—Questioning is only one of several verbal modes that a supervisor may use in a conference. However, it is probably the most important means for pursuing the conference objectives. Questioning is also the predominant factor in determining the conference "style" and competence of the supervisor.

During the introductory phase, after some attention to climate-building, the supervisor typically asks questions designed to initiate a topic for discussion. Often these questions cause the teacher to reflect on those aspects of his/her teaching that relate to the data collected during the classroom observation. Questions in this phase generally are of the focusing, probing, eliciting, clarifying, and bridging varieties. Information, simple ideas , and expressions of feelings are requested, and the responses form the basis for subsequent explorations. Examples include: "What are your perceptions about the students' behavior toward the end of the period?"; "How would you describe the level of student thinking stimulated during your simulation game?"; "What does the data from Interaction Analysis indicate about your use of direct teacher influence?"

Toward the end of the conference, the supervisor should guide the teacher in higher level thinking in order to process information and ideas previously mentioned. Ideally, the teacher, through the supervisor's questions, will be able to analyze situations, discover areas needing improvement, and suggest strategies to resolve concerns or problems. Divergent questions, generally of the extending and synthesizing variety, should be used. Examples include: "What do you think caused the stu-

dents to react that way?"; "What is an alternative way to present that concept?"; "What should be included in a plan to implement these suggestions for improvement?"

4. *Commentary*—According to Carl Rogers, the greatest barrier to communication is the tendency of people prematurely to judge, to evaluate, and to approve or disapprove. The astute and sensitive supervisor will make comments that mirror the teacher's behavior, essentially distilling and clarifying that behavior so the teacher can focus on and examine it.

While criticism is sometimes necessary and evaluation may be one purpose for the conference, these modes are often overused, with detrimental effects. Relying principally on description, while skillfully guiding the teacher with questions and inferences to reflect on his/her teaching performance, is a productive supervisory technique.

Teachers benefit most from being guided to think critically about their own performance and encouraged to engage in problem solving as a part of their approach to teaching. Therefore, the supervisor should describe rather than evaluate, as much as possible.

5. *Praise*—Praise and encouragement are powerful means of positive reinforcement. If the supervisor intends to create the most productive climate in the conference, praise is an indispensable strategy.

The supervisor who is sensitive to the teacher's feelings will realize the value of deserved praise. However, praise and encouragement must be perceived as authentic by the teacher, as growing naturally out of the interaction within the conference. Gushing and "stroking" should be avoided. Otherwise, the supervisor's behavior will be suspect and the teacher may feel manipulated. This will undermine the supervisor's credibility and diminish his/her effectiveness as an agent for contributing to that teacher's improvement.

Praise is most effective if it is specific. Rather than saying, "You are doing a good job," make a statement such as, "Your inquiry style questioning was very effective. If I had a videotape of it, I'd use it to demonstrate questioning."

6. *Nonverbal Communication*—

**"The supervisor needs to be perceived as a friendly, good-humored, unassuming yet competent person."**

*Photo: Joe DiDio, NEA*

Tacit messages are communicated through body language, which may either complement or contradict its verbal counterpart. The most effective conference occurs when verbal and nonverbal communication reinforce each other.

For the most part, nonverbal communication authentically reflects a supervisor's real attitudes, and a discerning teacher will be certain to recognize this. If, for example, the supervisor glances at the clock frequently during the conference, the teacher may assume the supervisor considers the conference to be perfunctory. Supervisors must monitor nonverbal actions closely and use them as a dynamic communicating instrument.

Charles Galloway has identified six messages that may be communicated nonverbally. Three of these are positive: enthusiastic support, helping, and receptivity. The other three are negative: inattention, unresponsiveness, and disapproval.[1] When a supervisor feels enthusiastic, helpful, or receptive, he/she is likely to display nonverbal behaviors consistent with those feelings and positively reinforce verbal communication. When the supervisor is aware of negative feelings, a mental red flag should go up. Negative nonverbal communication should be employed only to achieve a desired effect, and then only with full awareness of the dynamics of the situation. The supervisor can't afford the luxury of uninhibited expression of deleterious emotions.

To promote good communication, facial expressions should be pleasant and animated. Eye contact is important to show attention and responsiveness and should be deliberately maintained. Gesturing, with the hands especially but with the rest of the body, too, contributes to a dynamic presence. Reaching out and touching, used with discretion, can powerfully communicate empathy and understanding. Whatever the supervisor's nonverbal behavior, it should be carried out with full awareness and with deliberate purpose.

7. *Balance*—A productive conference requires two-way communication and the supervisor is responsible for balance in that communication. The supervisor must be a good listener while the teacher is talking, and must elicit teacher talk by expressing interest and encouragement when necessary.

For optimum transfer of conference outcomes to classroom practices, the supervisor should generally do less talking than the teacher, since insight occurs most readily when the teacher identifies his/her own behaviors, analyzes data, and conceives means for improvement. The supervisor should facilitate the transition of a teacher's thoughts from recall to problem solving. If the supervisor dominates the verbal activity of the conference, the opportunity for the teacher's expression, especially higher level expression, is diminished.

8. *Sensitivity*—The best conferences occur when the supervisor has sufficient confidence and maturity to be totally unselfconscious. If the supervisor's hidden agenda is a need for acceptance and support, then he/she will manipulate the conference to achieve personal ends. This happens at the expense of the teacher's needs and feelings.

The supervisor should approach the conference with certain predispositions: the intent to establish a warm climate, to use nonverbal cues, to provide praise and support, and to attempt to transcend the teacher's spoken ideas to a level of feeling and meaning that lies beyond. The supervisor working at this level can ask questions that lead the teacher to personal insights, answer implicit questions the teacher isn't able to ask, and deal with feelings the teacher is reluctant to express.

The area of sensitivity separates the merely competent supervisor from the supervisor who is inspiring. The supervisor whose style is sensitive and compassionate is the one most likely to cause significant and worthwhile change in teachers.

9. *Closure*—The conference is a teaching-learning setting. Just as any well-planned and competently executed teaching episode ends with an appropriate closure, so does the conference.

Closure reinforces the important conference outcomes. Closure also clarifies the extent to which the purposes of the conference have been achieved and leaves the teacher and supervisor with a sense of accomplishment. Finally, and most important, the conference should culminate in a commitment to some resolution or course of action, possibly by the supervisor as well as the teacher, that is intended to improve teacher performance.

In form, closure usually involves summarizing the target topics, with a restatement of and mutual agreement on outcomes. The supervisor may pose questions designed to elicit statements of commitment from the teacher. For example, "How will you cope with this situation the next time you encounter it?"; "What improvements do you hope to make by the end of the term?"; and "What is your order of priorities?"

**Conference Analysis Questions**

Before conducting the conference:

1. What do I expect to be the optimal outcome of the conference?
2. What verbal and nonverbal behaviors will I use to build a supportive climate?
3. What questions will I ask in order to have the teacher identify problem areas?
4. Which of the other conference skill areas will I particularly attend to during the conference?

After the conference:

1. To what extent did I achieve my conference goals?
2. How did the teacher respond to the climate I created?
3. How can I improve in formulating and asking questions?
4. Which conference skill areas should I focus on during my next conference?

The Conference Category System is most useful as an awareness-raising device and as a source of information for self-analysis or dialogue in shared-analysis. It lends itself to supervisor development by way of indicating directions for possible improvement. It is less useful as a means to provide specific performance data per se, since the scales require the use of judgment by the observer. In developing the CCS we have tried to recognize that supervision is a legitimate science, but that its effective practice is an art. ■

[1] Charles M. Galloway, "Nonverbal Communication in Teaching," in *Theory into Practice* 7 (December 1968): 172-175, ed. Ronald Hyman (Philadelphia: Lippincott, 1968), pp. 74-77.

## CONFERENCE CATEGORY SYSTEM
## ANALYSIS FORM

SUPERVISOR _____

TEACHER _____

DATE _____

**ANALYSIS SCALES**

| OCCURRENCE | EFFECTIVENESS |
|---|---|
| 1. Not evident | 1. Not effective |
| 2. Slightly evident | 2. Slightly effective |
| 3. Moderately evident | 3. Moderately effective |
| 4. Quite evident | 4. Quite effective |
| N Not applicable | N Not applicable |

| CATEGORIES (Parts A&B Correspond to Occurrence and Effectiveness in the Analysis Scale) | A. OCCURRENCE | B. EFFECTIVENESS |
|---|---|---|
| 1. **Climate:** A. Supervisor makes comments specifically intended to affect the climate. B. Supervisor's statements release tension and contribute to productive communication. This includes expressions of support and encouragement, stated in a comfortable, relaxing tone. | _____ | _____ |
| 2. **Target Setting:** A. Supervisor designates intended conference content. B. Supervisor explains the purpose of the conference, possible outcomes, and items to be included. The teacher is given the opportunity to approve these and suggest others. The resulting agenda is attended to in the conference. | _____ | _____ |
| 3. **Questioning:** A. Supervisor employs questions as an essential means of pursuing conference targets. B. Supervisor uses a questioning strategy thoughtfully and purposefully to encourage the teacher to reflect, analyze, and evaluate. Questions which focus, probe, clarify, which transcend the obvious and mundane, are posed. | _____ | _____ |
| 4. **Commentary:** A. Supervisor clarifies ideas and provides information and suggestions. B. Supervisor remarks are descriptive rather than judgmental. Pertinent information is provided incisively. Comments are appropriate and substantive. | _____ | _____ |
| 5. **Praise:** A. Supervisor praises and encourages when opportune. B. Praise is used judiciously and authentically to commend teacher ideas and performance. Praise is specific in most instances. | _____ | _____ |
| 6. **Nonverbal:** A. Communication other than through voice occurs. B. Supervisor has a pleasant facial expression, smiles as appropriate. Speech is accompanied by gestures. Nonverbal behavior communicates interest and enthusiasm. Touching may occur if appropriate. | _____ | _____ |
| 7. **Balance:** A. Communication occurs in both directions. B. Supervisor is a patient and attentive listener. Supervisor elicits ample teacher involvement, usually talks less than the teacher. | _____ | _____ |
| 8. **Sensitivity:** A. Supervisor acts on the teacher's behalf. B. Supervisor is alert to emotional and conditional factors, to verbal and nonverbal cues, and responds appropriately, often with climate building comments. Supervisor avoids self-serving behavior. | _____ | _____ |
| 9. **Closure:** A. Supervisor uses a culminating technique. B. Supervisor reviews, or causes the teacher to review, the major outcomes of the conference: understandings, solutions, plans, and especially commitment. | _____ | _____ |

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*Evaluation procedures should focus on improving instruction, should be realistic and practical, and should enhance the supervisor-teacher relationship.*

# *Effective Teacher Evaluation Systems*

THOMAS L. MCGREAL

I have spent the last seven years working with some 300 school districts and 75,000 supervisors and teachers around the country to build local teacher evaluation systems. Out of this experience, I have identified nine commonalities associated with desirable practices.

### 1. Attitude

Traditional evaluation models have stressed teacher accountability, while supervisory models have emphasized instructional improvement. This dual emphasis requires evaluators to walk a fine line between accountability and improvement, which is extraordinarily difficult to do. Evaluators must make a choice between the two; the likelihood of success is greater when there is consistency within a system.

Generally, accountability systems are designed to obtain documentation of inappropriate teacher behavior. Supervisors are forced to collect data, use instruments, and act in a directive manner that allows for summative evaluation of performance. Approaches founded on this attitude are generally based on a misunderstanding of the requirements of documentation or a lack of basic information about what is needed for teacher dismissal. Experience and available data[1] suggest that evaluation systems based on accountability promote negative feelings about evaluation which, in turn, lead to a lack of participation and a lower likelihood of teachers being willing to alter classroom behavior. On the other hand, systems built around the concept of improving instruction are always accompanied by an acceptable level of accountability information. An attitude must prevail that the purpose of the evaluation system, particularly for tenured teachers, is truly to help teachers improve instruction.

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### 2. Complementary Procedures, Processes, and Instrumentation

Even when districts claim the improvement of instruction is the primary purpose of evaluation, their actual methods are too often counterproductive. They saddle supervisors and teachers with procedures and instrumentation that require ratings on standardized criteria heavily loaded toward administrative concerns, that produce high supervisor-low teacher involvement, and that promote unfocused classroom visitation.

The ultimate test of an evaluation system is whether a relationship of mutual trust exists between the supervisor and the teacher when they meet. The key to success is the amount of flexibility the supervisor and teacher have in working toward the particular skills, knowledge, techniques, styles, and so on that best fit that teacher's needs and interests. A school cannot expect to have an effective system by espousing one purpose and then requiring the persons within the system to follow procedures that don't complement that purpose.

### 3. Separation of Administrative and Supervisory Behavior

With an emphasis on instructional improvement, supervisors should try to separate *teacher* evaluation from *teaching* evaluation. One of the major violations of this concept is the use of districtwide summative evaluation instruments (rating scales or statements on standardized criteria) as the basis for evaluating classroom performance following observation. In many instances, as high as 75 percent of these criteria are administrative in nature and have nothing to do with the type of data collected during a classroom visit. Formative evaluation techniques are used to make summative judgments on nonrelevant criteria.

Many tough, accountability-oriented boards of education accept the notion that there are minimum expectations for teachers that are primarily administrative or personal in nature (adherence to school policy, appearance, personal relationships, relationships with parents and community, and so forth). These expectations are continuously monitored by the informal, unobtrusive nature of administrators and teachers working, living, and interacting in the same environment. No special set of procedures and instrumentation need be established to deal with these issues. Violations are dealt with as they occur. Teachers accept bureaucratic rules and procedures if they are handled in an appropriate manner at the appropriate time.

There is no need to store up evaluation comments on administrative criteria for inclusion in conferences following classroom observations. These conferences should allow supervisor and teacher to focus on instructional matters, relying on formative evaluation techniques that foster

a collegial, supervisory-oriented relationship between professionals.

**4. Goal Setting**

In systems that function effectively, a recurring commonality is some form of goal setting between the teacher and the supervisor. The use of goal setting as a basic supervisory activity has increased dramatically in recent years, partly in opposition to evaluation systems built around standardized criteria offering no opportunity to individualize supervisory practices.

In its most effective format, the goal-setting process is a cooperative activity between the supervisor and the teacher that results in a mutually agreeable focus. The goals become the core of the evaluation/supervision process.[2] The ability to individualize criteria and the close cooperative supervisor-teacher relationship fostered by goal setting ensures effective evaluation/supervision systems.

**5. Narrowed Focus on Teaching**

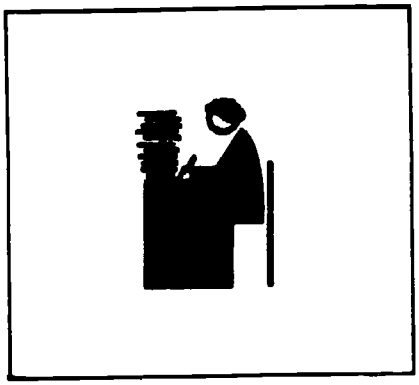
In order to have an impact on instructional practices, supervisors and teachers must have some common framework and a similar set of definitions about teaching from which to work. Supervisors also need thorough knowledge of classroom teaching skills.

Fortunately, we now know more about teaching and its impact on student learning than ever before. The evaluation/supervision systems that function most effectively are based on a particular approach to teaching which serves as a framework for the instructional interaction between supervisors and teachers. The two most useful and frequently mentioned ways of narrowing the focus of teaching are provided by teacher effectiveness research[3] and by the work of Hunter and her colleagues at UCLA.[4] Both are useful because of their focus on teaching behaviors and because of their common-sense approach.

**6. Use of a Modified Clinical Supervision Format**

Clinical supervision has long been a respected and recommended supervisory model. However, the complete application of the model in local school systems is not often practical, due to the required training period, the time requirements, and the inconsistencies between the philosophy of clinical supervision and the nature of supervision as carried out by administrators when they evaluate. Nevertheless, since the major form of data collection used in schools is classroom observation, the use of preconferences prior to observation as suggested by clinical supervision is now frequent in schools.[5]

There are two primary ways to increase the reliability of classroom observation. The first is to narrow the range of things one looks for during observation by using a goal-setting process, by operating in a system based on a narrowed focus on teaching, or by using some type of observation guide or focusing instrument. The second way to increase reliability is related to the kind and amount of information a person has *prior* to an observation. Consequently, the preconference is a useful and practical way to improve classroom observations. Clearly, the use of at least this



part of clinical supervision can improve the effectiveness of an evaluation system.

**7. Use of Alternative Sources of Data**

Observation is only one way to collect data about teaching. Among other alternatives are self evaluation, peer evaluation, parent evaluation, student evaluation, student performance, and artifact collection. While each method has some potential, three are especially useful. The first is classroom observation specifically directed toward collecting descriptive data relevant to established goals, and, as suggested in 6 above, use of preconferences before observations.

The second source of data is the use of student evaluative or, more accurately, student *descriptive* data. In terms of evaluation/supervision systems, it appears to be more reliable and hence more valuable to have students respond to written or oral statements asking for their perceptions of what occurs in a classroom than to have them rate the teacher. Having students respond to "Everyone is treated fairly here" is more descriptive than judgmental; having students respond to "The teacher has favorites" is a personal rating item.

The third method that should be a regular part of an evaluation system is artifact collection. Artifacts include study guides, question sheets, homework assignments, practice sets, experiments, descriptions of drill and practice activities, quizzes, and tests. Collecting and reviewing teacher artifacts takes on tremendous importance in light of teacher effectiveness research, which shows that 50 to 70 percent of the average student's day in school is spent in seat work and related activities.[6] Concepts of classroom planning that go beyond the traditional lesson plan can be developed through the collection and subsequent discussion of artifacts.

**8. Different Requirements for Tenured and Nontenured Teachers**

Most evaluation systems apply the same procedures and requirements to tenured and nontenured teachers. The only difference is that "it" happens more frequently to nontenured teachers. These two groups are not the same and the requirements concerning their participation in the system should be different.

Evaluation of nontenured teachers has two distinct purposes. The first is to provide administrators with data to use in making retention decisions. Second, the system must provide beginners with a support process that improves teaching skills and gives them a positive image of what supervision can be. More and more schools are accepting the recommendation that the following conditions be part of the evaluation process for nontenured teachers: (1) Goals are established for the teachers; most beginners are not sophisticated or confident enough to set their own goals. (Goals for beginning teachers should usually relate to planning and management skills.) (2) Regular observations accompanied by pre- and post-conferences are made during a two- or three-day consecutive visit sequence. (3) At least once each semester student descriptive data are collected from one of the teacher's classes. The data are used formatively by the supervisor and teacher

and are put in the teacher's portfolio. (4) At least once each semester for a two- or three-week period, or for a unit of work, all artifacts used or produced by the teacher are collected and reviewed with the supervisor. The comments and suggestions and the artifacts themselves are kept in the teacher's portfolio.

Since an evaluation system for tenured teachers should focus on improving instruction, the teachers should be active participants in the goal-setting process and data sources should relate to the established goals. While nontenured teachers go through the evaluation process continuously, tenured teachers go through the system only every second or third year. This is based on considerable experience showing that extensive contact between supervisor and teacher over the course of a year in a well-developed goal-setting system is much more effective in altering classroom behavior than the perfunctory, unfocused yearly visit that characterizes most local evaluation systems.

Multiple sources of data are generally not required of tenured teachers, but rather are used by agreement between supervisor and teacher as dictated by the type of goals set by the teacher.

### 9. A Complete Training Program

An evaluation system is effective in direct relation to the amount of training received by all the participants. Too often teachers and supervisors are expected to operate within systems that demand skills or understandings to which they have not been exposed. Consequently they are forced to fall back on old practices and attitudes that are not appropriate or supportive of a new system.

From the perspective of the commonalities discussed here, an appropriate training program would include goal-setting skills for both supervisors and teachers; definitions, explanations, examples, and practice in the selected teaching focus; explanation of and practice in use of student descriptive data and artifact collection; classroom observation skills for supervisors; conferencing skills for supervisors; and a general review for all participants covering the prevailing attitude toward the purpose of evaluation in the local district and how the system and the expectations toward the participants in the system are congruent with that attitude. In many instances, the training can be accomplished in relatively short periods of time. Much of the initial training can be handled in six to eight hours for supervisors and five hours for classroom teachers.

The nine commonalities I have listed are offered not as a model evaluation system but as a basis for reviewing current practices in a district. Districts wishing to redesign their present systems may use these commonalities as a starting point.

School administrators intending to increase effectiveness of their district's teacher evaluation system must do two things:

1. They must look at the existing system, particularly with regard to its purposes, procedures, processes, and instrumentation. What the district wants its system to be and do, and what the system requires of the people involved, must be congruent.

2. They must provide *all* the members of the school with appropriate training and guided practices in the skills and knowledge necessary to implement and effectively maintain the system.

This concern for the procedural side of evaluation is not intended to deny the importance of the relationship between the supervisor and the teacher. Experience shows that a positive, supportive relationship between a knowledgeable supervisor and the teacher is still the most effective way to improve instruction. Unfortunately, the relationships that exist in the average school setting are not always positive. In many instances the breakdown in these relations is fostered by the system and its unrealistic demands and expectations. It is apparent that not only must adequate training be provided to all the participants, but they must also be provided with a system that supports and enhances supervisor-teacher relationships. ■

[1] M. J. Zelenak and B. C. Snider, "Teachers Don't Resent Evaluation—If It's for the Improvement of Instruction," *Phi Delta Kappan* 55 (January 1974): 384.

[2] For more detail on the attitudes, definitions, and strategies that characterize goal setting systems, see Thomas L. McGreal, "Helping Teachers Set Goals," *Educational Leadership* 37 (February 1980): 414.

[3] As an example of some of the encouraging work being done in the area of teacher effectiveness, see C. Denham and A. Lieberman (eds.), *Time to Learn, A Review of the Beginning Teacher Evaluation Study* (California Commission for Teacher Preparation and Licensing, 1020 "O" Street, Sacramento, California). For an example of the use of the teacher effectiveness research in a local district evaluation system, contact Dale Jones, Assistant Superintendent, West Aurora Public Schools, Aurora, Illinois.

[4] See, for example, M. Hunter, "Teacher Competency: Problem, Theory, Practice," *Theory Into Practice* 15 (April 1976): 169; and M. Hunter, *Prescription for Improved Instruction* (El Segundo, Calif.: TIP Publications, 1976).

[5] For a practical discussion of clinical supervision, see K. Acheson and M. Gall, *Techniques in the Clinical Supervision of Teachers* (New York: Longman, Inc., 1980).

[6] Barak Rosenshine, "Content, Time, and Direct Instruction," in *Research on Teaching*, ed. P. Peterson and H. Walberg (Berkeley: McCutchan Publishing Company, 1979).

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Research Information Service

JAMES SWEENEY

# RESEARCH SYNTHESIS ON EFFECTIVE SCHOOL LEADERSHIP

The direct responsibility for improving instruction and learning rests in the hands of school principals. Do principals of schools with high achievement exhibit any particular leadership behavior? Research suggests that they do.

## Background

School effectiveness has been a concern of educators for the past two decades. While the 60s were marked by large national studies investigating the effects of input variables, such as quantities of resources and pupil characteristics, recent research has focused directly on school processes. Each of the studies discussed below uses the organization or case study approach since data collected by on-site inquiry and observation provide an understanding of not only how an organization functions but why it behaves the way it does. Assessing the validity of case studies is, at best, a risky business because there are no formal criteria to guide judgment. To counteract that liability, I developed four criteria of my own for selecting the research included here: (1) evidence that the study was internally valid, that is, whether the researcher(s) used appropriate measuring instruments and statistical analyses; (2) evidence of control for pupil characteristics; (3) research was conducted in schools categorized as effective or exemplary based on operational definitions of achievement; and (4) significant positive relationships between school achievement and instructional leadership behavior were reported.

## The Evidence

A number of studies met these criteria. The evidence presented is based on studies that represent, in my opinion, the most valid and extensive research. Do principals make a difference and if so, which leadership behaviors are associated with positive outcomes? A look at the evidence.

*Reading, Inner-City Children* (Weber, 1971). Weber's work provided educators with a point of departure from the devastating Coleman Report (1966). It achieved its purpose for it was intended as an alternative to Coleman's widely accepted conclusion that schools do *not* make a difference; a student's achievement is exclusively a function of family background. Conducted in four inner-city schools in New York, Los Angeles, and Kansas City, results pointed toward the *school* as the determinant of success in third-grade students' reading achievement.

The schools Weber examined exhibited a significant number of poor students scoring above national reading norms. To further substantiate student competency in reading, a test was devised to determine reading ability. The results showed that reading ability in the four schools was similar to that of students in average-income schools. Interviews with staff and observations of classes during reading instruction revealed that in successful schools there was a decided emphasis on reading; careful and frequent evaluation of pupil progress; and a pleasant, orderly, and quiet atmosphere. Leadership appeared to be a significant factor; school administrators set the tone for the school and assumed responsibility for instruction and allocation of resources to reach school goals.

*New York State Performance Review* (1974). By 1974 there were only four studies clearly connecting school leadership with school effectiveness. The New York studies tended not only to confirm the Weber findings b t pointed to the school environment as being instrumental in elevating achievement scores. Two inner-city schools in New York City that matched on important environmental factors but differed significantly in reading achievement were studied in depth. The analysis revealed that differences in student achievement appeared to be attributable to factors under the school's control, some of them significantly related to leader behavior. The principal in the more effective school had developed and implemented a plan for dealing with reading problems and provided a good balance between management and instructional skills. He appeared to be "quietly everywhere," observing students and teachers. He was more involved in explaining district plans for improvement, establishing educational practices, and developing a stable school atmosphere.

*The California School Effectiveness Study* (Madden and others, 1976). During the mid 70s California was fertile ground for school effectiveness research. The scope of that research is broad but the Madden study is especially noteworthy. That study paralleled both Weber's and the New York State Performance Review but was more extensive and rigorous. Identifying 21 pairs of elementary schools that matched on the basis of pupil character-

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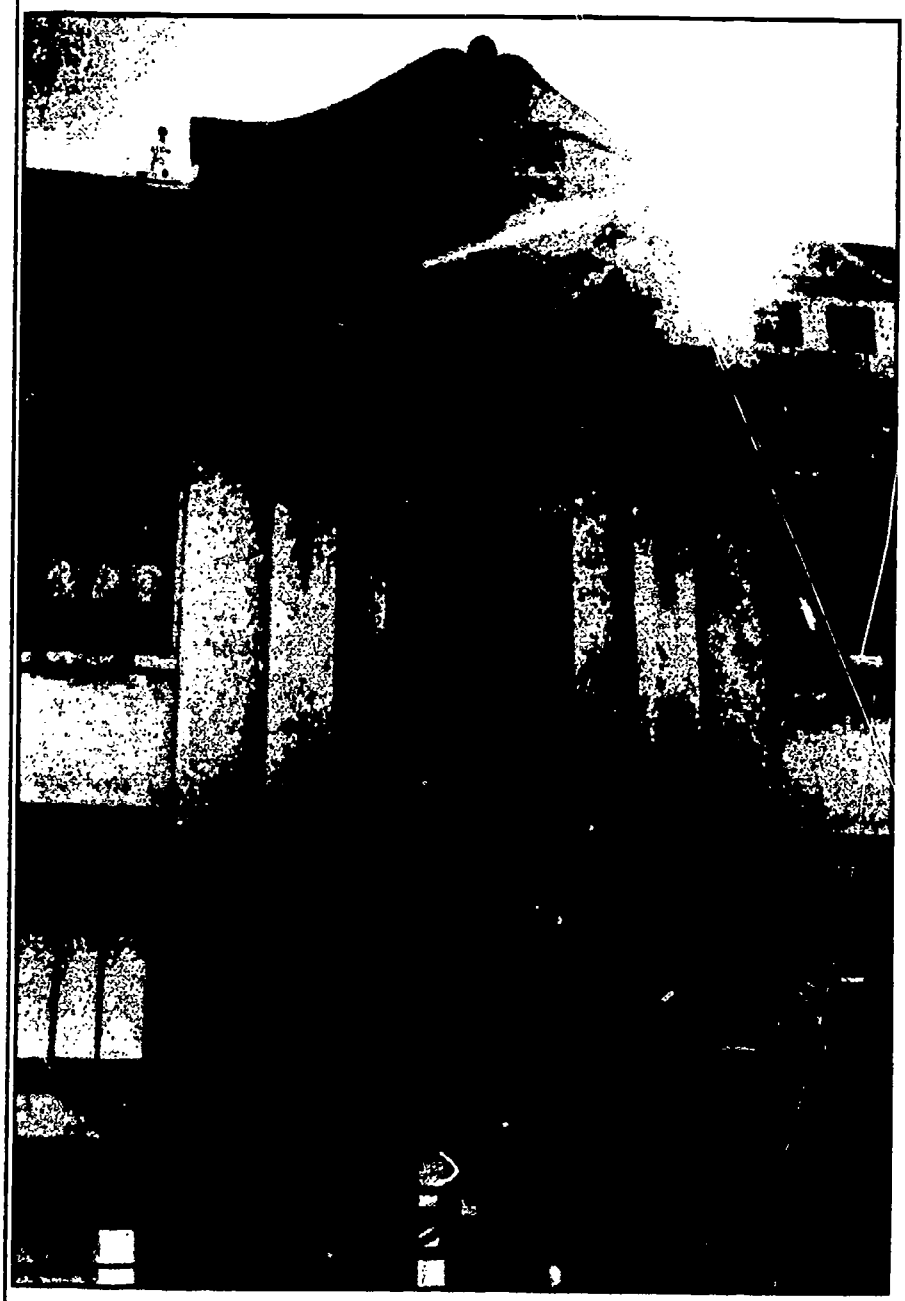

istics but differed on standardized achievement measures, the research team identified five factors that seemed to differentiate effective from less effective schools. In more effective schools: (1) teachers reported receiving significantly more support; (2) there was an atmosphere conducive to learning; (3) the principal had more impact on educational decisionmaking; (4) there was more evidence of pupil progress monitoring; and (5) there was more emphasis on achievement.

*ESAA In-Depth Study* (Wellisch and others, 1978). As part of an effort to evaluate the impact of the Emergency School Aid Act (ESAA) Wellisch and others examined leader behavior in nine elementary schools that had made significant gains in reading and mathematics as contrasted with 13 less effective elementary schools. The researchers examined four facets of instructional leadership. The first was concern for instruction. Teachers were asked if their principal felt strongly about instruction, had definite views, and promoted a point of view. On a scale of 0 to 4, where high scores indicated strong concern, the median score in successful schools was 2.9 compared to 1.0 in nonsuccessful schools, a highly significant difference. Similar findings were reported for communication about instruction. Schools in which teachers reported their performance was regularly reviewed and discussed were significantly more likely to show achievement gains. The third area of inquiry was responsibility for instruction. Teachers were asked to estimate how they and their administrators participated in decisions concerning instruction, in selecting basic instructional materials, in plan-

ning programs for the entire school, and in evaluating school programs. Schools where teachers attributed more responsibility to the principal in a greater number of areas were significantly more likely to be successful. Finally, perceptions of staff were used to categorize schools on instructional program coordination, and the relationship between that and student achievement was examined. Instructional program coordination was defined in terms of content, sequence of objectives, and use of materials throughout all grades. Based on staff estimates, schools were significantly more likely to show gains in achievement where instructional programs were extensively coordinated by school leaders.

*Search for Effective Schools* (Edmonds, 1978). Edmonds, through his efforts to identify and analyze urban schools that are instructionally effective for poor and minority students, has been a major contributor to school effectiveness research. His initial efforts were as project director of Harvard University's "Search for Effective Schools." These studies involved 20 elementary schools in Detroit's Model Cities Neighborhood, a re-analysis of the 1966 Equal Educational Opportunity Survey (EEOS) data (Frederiksen, 1975), and an analysis of differences in six pairs of elementary schools in Lansing, Michigan.

On the basis of these extensive analyses, Edmonds concluded that schools and school leadership *do* make a difference—that there are tangible and indispensible characteristics of effective schools attributable to leadership. Effective schools, according to Edmonds, are marked by leaders who:

1. Promote an atmosphere that is orderly without being rigid, quiet without being oppressive, and generally conducive to the business at hand
2. Frequently monitor pupil progress
3. Ensure that it is incumbent upon the staff to be instructionally effective for all pupils
4. Set clearly stated goals and learning objectives
5. Develop and communicate a plan for dealing with reading and mathematics achievement problems
6. Demonstrate strong leadership with a mix of management and instructional skills.

*School Social Systems and Student Achievement* (Brookover and others, 1979). Brookover's contribution to school effectiveness research is significant due to its breadth and because it includes a relatively large sample of schools of disparate racial composition and rigorous case studies. Preliminary investigation by Brookover and Schneider (1975) and Brookover and Lezotte (1977) indicated there were marked differences in leadership in effective and ineffective schools. Leaders in the effective schools were more assertive, more effective disciplinarians, and more inclined to assume responsibility. Emphasis on instruction and student achievement was pervasive in their schools. On the basis of this early research, Brookover and others (1979) designed a study to examine the hypothesis that differences in school social systems explain differences in student outcomes among schools. Schools in the study included three groups of Michigan elementary schools: a representative state sample (68), a majority black school sample (30), and a majority white school sample (61). Analyses of data from these schools suggested that a major portion of the variance in achievement between schools was explained by three components of the school social system: (1) school inputs, (2) school social structures, and (3) school climate.

This set the stage for case studies in four low SES schools. Two were majority black schools differing in effectiveness as determined by achievement scores, the others were majority white schools exhibiting similar achievement differences. Supervision in the successful schools was decidedly different from that in unsuccessful schools. In one of the effective schools, the principal "dropped in" on classrooms frequently, visiting each class approximately 30 times over the school year. Although the principal was not innovative in terms of presenting teachers with "new" programs, interaction techniques, and so

forth, during the three-month observation period he tried to organize teacher effectiveness training and held meetings with small groups of teachers to discuss their students' achievement. The principal's concern for achievement was known to both students and teachers as were his high expectations for students—he exhibited a commitment to ensuring that students could and should be achieving at relatively high levels and assumed responsibility for reaching those levels.

Effectiveness in the other successful school was attributed to the present and previous principals. Teachers felt that the previous principal had truly been an educational leader as evidenced by his ability to effectively present workshops and inservice sessions for them. The present principal was almost exclusively an administrator, and apparently a good one. Although he periodically observed and critiqued teachers' classroom skills, he felt the primary responsibility for the quality of education rested with individual teachers and perceived his primary responsibilities were to supervise teachers, and encourage and support their attendance and participation in seminars, workshops, and inservice programs designed to increase their effectiveness in the classroom.

Principals in the less effective schools behaved quite differently. One was almost totally bogged down with discipline and administrative problems and showed little interest in instruction or achievement. Teachers in this school seemed preoccupied with maintenance and survival. The principal in the other school was also ineffective despite an apparent concern for instruction and achievement. Although she frequently reminded teachers that increased reading achievement was a priority she provided little push to make that priority a reality. Teachers, in turn, made few demands on students. While the principal was perceived "as someone nice to work for" there was little evidence that there was concern for student achievement. Brookover's insight into leadership differences in the schools is concise and straightforward: "lack of pressure relative to teacher performance and little emphasis on increased achievement appeared to differentiate low achieving schools from those more effective" (Brookover and others, 1979).

*Secondary Schools and Their Effects on Children* (Rutter and others, 1979). No study in the school effects literature has successfully captured the process of education within individual schools to the extent that Rutter and his colleagues (1979) have. Fifteen hundred junior high school age students in 12 inner-city schools of London were the object of a detailed longitudinal analysis. Youngsters were assessed on school entry variables at ten years of age and reassessed at exit three years later. Based on an analysis of the standardized test scores, schools that appeared to exert a positive influence on pupil progress and those less successful were identified. During a two year period observations, interviews, and surveys were directed toward analyzing the kinds of environments provided for teaching and learning, as well as such variables as academic emphasis, teaching skills, student participation, and so forth. A wide range of observations, including one complete week of observing lessons in each school, provided an understanding of school processes and school life.

The researchers concluded that the influence of the head teacher (supervisor) was very considerable. Investigation of more than 70 variables suggested the influence of the combined effect of the process variables was more powerful than any individual variable. There also appeared to be a connection between this combined effect, or "ethos," and school leadership. For example, school outcomes tended to be better when the curriculum and approaches to discipline were agreed upon and supported by the staff acting in concert. Examination successes were more frequent and delinquency less common in schools where discipline was based on expectations set by "the school" rather than left to individual teachers to work out for themselves. In schools with higher outcomes, decisions tended to be made at a higher level than the staff room. Students had better academic success in schools where general attitudes and spe-

## HIGHLIGHTS FROM RESEARCH ON EFFECTIVE SCHOOL LEADERSHIP

Effective schools have effective leaders. Much of what the school does to promote achievement is within the principal's power to influence and control. Specifically, there are six leadership behaviors that have been consistently associated with schools that are well managed and whose students achieve.

Effective principals:

1. **Emphasize achievement.** They give high priority to activities, instruction, and materials that foster academic success. Effective principals are visible and involved in what goes on in the school and its classrooms. They convey to teachers their commitment to achievement.
2. **Set instructional strategies.** They take part in instructional decision making and accept responsibility for decisions about methods, materials, and evaluation procedures. They develop plans for solving students' learning problems.
3. **Provide an orderly atmosphere.** They do what is necessary to ensure that the school's climate is conducive to learning: it is quiet, pleasant, and well-maintained.
4. **Frequently evaluate student progress.** They monitor student achievement on a regular basis. Principals set expectations for the entire school and check to make sure those expectations are being met. They know how well their students are performing as compared to students in other schools.
5. **Coordinate instructional programs.** They interrelate course content, sequences of objectives, and materials in all grades. They see that what goes on in the classroom has bearing on the overall goals and program of the school.
6. **Support teachers.** Effective principals communicate with teachers about goals and procedures. They support teachers' attendance at professional meetings and workshops, and provide inservice that promotes improved teaching.

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cific actions (by staff) emphasized academic expectations. Finally, the school atmosphere was found to be greatly influenced by the degree to which the school functioned as a coherent whole, with agreed upon ways of doing things.

*The School Improvement Project* (Edmonds, 1979). Conducted in nine elementary schools in New York City, this research is a continuation of Edmonds' work. Based on earlier findings, five factors associated with school effectiveness were identified: (1) administrative style, (2) school climate, (3) schoolwide emphasis on basic skills, (4) teacher expectations, and (5) continuous assessment of pupil progress. School effectiveness was defined by scores on a citywide reading achievement test in public schools. Citywide rankings of this measure were used to differentiate highly effective schools from less effective schools. Schools that demonstrated substantial upward movement in the rankings over a four year period were categorized as "improvers"; those which over the same period of time demonstrated no substantial upward movement were categorized as "maintaining/declining." Pairs of improving and maintaining/declining schools from separate communities, matched on important environmental variables were then chosen from five districts. The data directly support the importance of supervision. The researcher found that 90 to 100 percent of teachers in the improving schools reported effective within-grade and schoolwide instructional coordination. These schools also provided regular administrative response to teacher difficulties, useful faculty meetings, opportunities for staff interaction on curriculum matters, and adequate inservice training. Teachers in maintaining/declining schools indicated a lack of instructional supervision by administrators and general dissatisfaction with school instructional goals. In addition, 50 to 82 percent of the teachers in maintaining/declining schools found inservice training, teacher involvement in curriculum development, within- and between-grade coordination of instruction, and instructional materials to be inadequate. The vast majority of teachers in improving schools reported effective communications with their building administrator and an orderly atmosphere in their schools.

## Conclusions and Consistencies

The evidence clearly indicates that principals do make a difference, for leadership behavior was positively associated with school outcomes in each of the eight studies. Of equal importance was the emergence of specific leadership behaviors consistently associated with effective schools. It should be pointed out that researchers use different terminology to label leadership behavior, therefore, in a few instances categorization was somewhat of a judgment call. Figure 1 shows that six leadership behaviors were found to be associated with school effectiveness.

Clearly, implications are that school effectiveness is enhanced by principals who emphasize achievement (8), set instructional strategies (8), provide an orderly school atmosphere (7), and frequently evaluate pupil progress (5). Coordination of instruction (4) and support of teachers (3) also received strong support when one considers that the studies were aimed at school processes, not at curriculum. For example, it is possible that findings related to the school's atmosphere may have incorporated *supports teacher*, for discipline was frequently mentioned.

Taken as a whole, these results strongly suggest that principals who emphasize instruction, are assertive, results-oriented, and able to develop and

**Figure 1. Leadership Behaviors Positively Associated With School Outcome.***

| Supervisory Behavior | Weber | New York State Performance Review | Madden | Wellisch | Edmonds | Brookover | School Improvement Project | Rutter |
|---|---|---|---|---|---|---|---|---|
| Coordinates Instructional Programs | | | | X | X | X | X | |
| Emphasizes Achievement | X | X | X | X | X | X | X | X |
| Frequently Evaluates Pupil Progress | X | X | X | | X | X | | |
| Provides Orderly Atmosphere | X | X | X | | X | X | X | X |
| Sets Instructional Strategies | X | X | X | X | X | X | X | X |
| Supports Teachers | | | X | | | X | X | |

*Identifies primary researcher only.

maintain an atmosphere conducive to learning make a difference—one reflected in elevated school outcomes. Besides being intuitively pleasing this view is consistent with administration and supervision literature.

### Caveats

There are those who contend that the science of research will always be a slave to the art of research. Although the studies presented in this report appear to be of sound design, with measurement of significant variables and statistical analyses properly attended to, they should be embraced with caution. First, there is the question of generalizability. Findings primarily reflect school effectiveness and leadership behavior in urban elementary schools inhabited by poor children. While there are no compelling reasons to assume that studies of other school types would not yield similar results, effective behavior in those school types still remains something of an open question.

There is also the possibility of interactive effects. Schools are spectacularly dynamic organizations where a nearly infinite number of inputs and processes vary, change, and interact on a continuous basis. There is considerable evidence (Averch and others, 1974) that teachers, students, instructional methods, and leadership are among the most volatile and interactive school variables. Therefore, the output may be contingent on the situation—behaviors related to positive outcomes in school A may have no effect or be negatively related to effectiveness in school B.

### Final Thoughts

There is obviously a need to continue, even intensify, school effectiveness research. Having examined a number of papers and journal articles, I submit three recommendations for those focusing their efforts on instructional leadership. The first is to focus future research on the so-called average schools. Case studies in those schools would be of great interest to educators. The next is to clearly define and describe instructional leadership behaviors since in most cases they are stated in vague and general terms. For example, while *emphasizing instruction* emerged as a key behavior, it's not clear what the principals actually did. The last recommendation concerns expectations of students. While it is not in a strict sense a leadership behavior and therefore was not included in the report, results of each of the eight studies pointed toward an association between high expectation by staff and positive school outcomes. While this is consistent with Rosenthal's (1968) concept of a self fulfilling prophecy one would wonder what specific role the principal plays in evaluating or depressing staff expectations.

A reasonably extensive body of evidence gathered by respected researchers through in-depth study supports the proposition that the principal makes a difference in schools. Of equal importance, six leadership behaviors associated with effective schools have a salutary effect for two reasons: (1) they provide direction for educators; and (2) they lend credence to school effectiveness research—by showcasing inter-study consistency. ■

**"teachers, students, instructional methods, and leadership are among the most volatile and interactive school variables."**

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## Topic G

# The Supervisior as Leader in Curriculum Development

SUPERVISORS IN THE VAST MAJORITY OF SCHOOL DISTRICTS have responsibility for ensuring that the curriculum meets the needs of learners. Such supervisors view curriculum development as one of their three major task areas, the other two being improvement of instruction and staff development.

It is not unusual for the supervisor in a local school system to have the title of curriculum director. In some large districts, however, the responsibility for curriculum development activities, including the writing of curriculum materials, is separated from the responsibility for supervision of instruction. Some textbook writers urge that the tasks of curriculum development and improvement of instruction always be assigned to different persons.

At the district level and at the local school level, educational leaders are involved with teachers in making curriculum decisions and in bringing about curriculum change. The decisions made and the process by which change is brought about have major consequences for implementation.

If supervisors are to provide leadership in curriculum development, they need to be skilled in decision making, to be knowledgeable about current and historical curriculum developments, and to possess a change agent orientation.

Phillips and Hawthorne examine the political dimensions of curriculum decision making—the locus of curriculum influence and control, the forms of political behavior engaged, and the points of conflict focused upon in curriculum decision making. They observe that "external pressure groups are skillful at analyzing internal 'soft spots' and will gain inroads through successful power plays, particularly when decision makers do not have conceptual control of their own curriculum affairs." They urge that all facets of the community (local through national levels) be brought together to shape creative alternatives to curricula developed by "us-them" dichotomies.

Glatthorn proposes an alternative to the traditional curriculum change process. He describes the organizational structure and relationships of contemporary school systems that are "loosely coupled." He argues for a process that begins with staff development designed to "impact directly on the 'taught' curriculum." He presents concepts of four kinds of curriculum: mastery, organic, team-planned, and student-determined. Through the process of curriculum mapping, the "taught" curriculum is evaluated and scope and sequence charts are developed. The final product is a loose-leaf curriculum notebook containing only bare essentials. Teachers are encouraged to add to the notebook materials they find helpful in implementing and extending the curriculum.

Weingast states his case for shared leadership. Drawing on his experience as a teacher in a district where leadership was shared, he describes the work of the curriculum council, the heart of the Mansfield, Connecticut, plan. He reflects on the approval and skepticism of various school personnel—principals, teachers, and school board members.

Loucks and Pratt describe the collaboration between the Research and Development Center for Teacher Education at the University of Texas at Austin and the Jefferson County, Colorado, Public School District in testing the Concerns-Based Adoption Model. They discuss four assumptions about change that provided the framework to guide them in the implementation of a science program. The model itself and the experiences in implementation reported by Loucks and Pratt will be of interest to supervisors and students of supervision.

Patterson and Czajkowski point to implementation as a neglected phase in curriculum change. They stress the importance of planning for implementation and the need for appropriate implementation strategies. They discuss two areas of staff development which are important to the implemenation process: *re-education,* the development or refinement of competencies necessary to implement the innovation; and *resocialization,* the development or refinement of roles and role relationships required.

Borrowing the concept of strategic management from the corporate world, English and Steffy envision its application in the educational community as promising. Through strategic management (management by structured foresight) curriculum can be a tool of strategic importance, claim the authors. They discuss the steps in the strategic management process and show how the curriculum can be used to carry out the school's strategic decisions. Educational leaders seeking new approaches to policy development and long-range planning will find the English and Steffy proposal thought-provoking.

Inherent in four of the articles (those by Glatthorn, Weingast, Loucks and Pratt, and Patterson and Czajkowski) is the recognition that teachers must be involved in the curriculum decision-making process and that attention to their concerns and needs increases the chances of successful implementation. Phillips and Hawthorne in their article observe: "Curriculum design, development, and evaluation are, always have been, and always will be special cases of political behavior." They do not speak specifically to teacher involvement in this process. Instead, they urge a broadening of the base for curriculum decision making to include both the professional bureaucracy and citizen representation. Patterson and Czajkowski see the implementation stage in curriculum change to be the neglected phase. Loucks and Pratt describe a model for curriculum change that recognizes the needs of teachers during the implementation stage and provides the kinds of support that Patterson and Czajkowski prescribe.

Some questions that may stimulate reader reaction to the articles include: What can supervisors working with other school personnel do to counteract the powerplays in curriculum decision making made by external pressure groups? What can supervisors do to become better informed about the politics of curriculum? What are the strengths and limitations of the approach to curriculum change proposed by Glatthorn? How would you characterize the leadership philosophy of the superintendent described by Weingast? What would you suggest as guidelines for successful implementation of curriculum changes? Can you support the claim made by English and Steffy that curriculum can be used as a strategic management tool?

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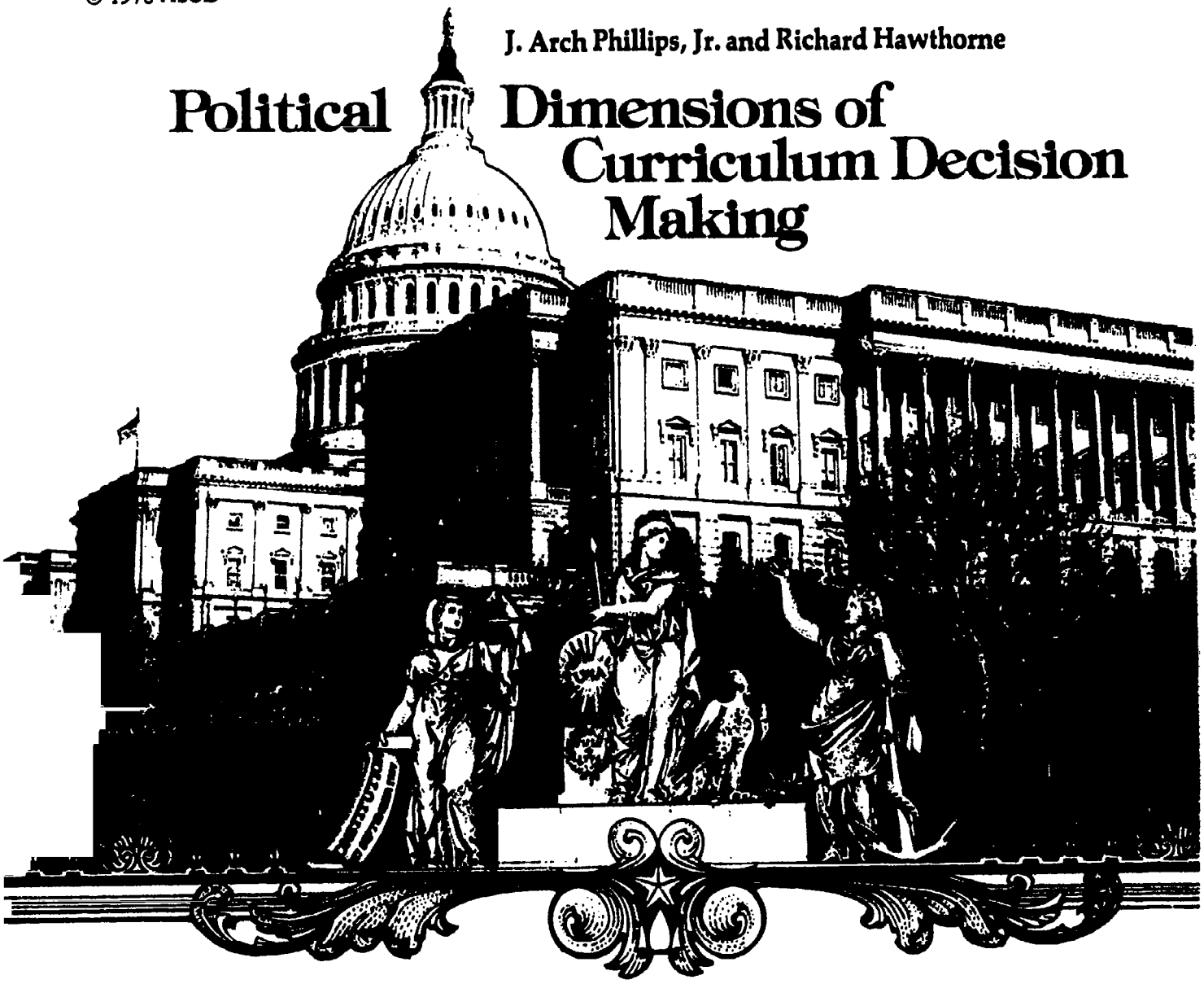
J. Arch Phillips, Jr. and Richard Hawthorne

# Political Dimensions of Curriculum Decision Making



*"Curriculum design, development, and evaluation are, always have been, and always will be special cases of political behavior." These authors examine the implications of political realities as these affect curriculum decision making.*

Curriculum decision making finds itself in transition between theories of well-c· ·olled models of decision making and political realities imbedded in forces at national, state, and local levels. Curriculum design, development, and evaluation are, always have been, and always will be special cases of political behavior. By political behavior we mean activity directed toward influencing or controlling decisions about the allocation of values.[1]

Deciding who should have access to what knowledge; how that knowledge is to be selected, organized, and presented; who should be evaluated about what and how , . . . is clearly a process of allocating values. It is a political reality that some people have greater power than others in making curriculum decisions. It is also a political reality that more and more people are seeking greater involvement in curriculum matters. The importance of who is involved in shaping the curriculum is underscored by Schaffarzick *et al.* when they state, ". . . concern for who should make

[1] Jay D. Scribner and Richard M. Englert. "The Politics of Education: An Introduction." See: Jay D. Scribner, editor. *The Politics of Education.* 76th Yearbook of the National Society for the Study of Education. Chicago: University of Chicago Press, 1977. p. 22.

curriculum decisions appears to take priority over the question 'what shall be taught?' "[2]

- Who does influence the allocation of values that result in curricula?
- To what extent do local, state, and national sources influence or have control over curriculum matters?
- What characterizes the political activities of curriculum development at the local, state, and national levels?
- What are the points of demand and conflict in contemporary curriculum decision making?

These questions guide our examination of the locus of curriculum influence and control, the forms of political behavior engaged, and the points of conflict focused upon in curriculum decision making.

### The Locus of Curriculum Control

Sorting out the quandary of federal vs. state vs. local influence is difficult at best. The interlocking relations are complex and frequently unclear. With respect to federal control, the issue is how much really exists, and just what is the nature of federal curriculum influence? Responses to this question are highly dependent on whom you ask about which programs or situations. Some observers have suggested that federal influence pervades virtually all facets and levels of the educational enterprise, creating *de facto* control of education at the state and local levels through the myriad of compliance regulations and conditions for receipt of aid.[3]

While on the one hand, strong federal legislation continues to encourage corrective and/or preventive programs that emerge in response to a need left unattended (purposely or unpurposely) by state/local decision makers and that are in the national interest (for example, N.S.F., N.D.E.A., Vocational Education, Mainstreaming, and so on), communities frequently perceive these actions as deliberate attempts to usurp the "grassroots" responsibility for educational decision making. Distinctions between federally funded program development and priority recommendations continue to be confused with state and local community rights and responsibilities for making rational choices among alternatives. For another perspective on the curriculum priorities of a key federal educational agency, it is instructive to review the products of the NIE Curriculum Task Force.[4]

Clearly the federal government influences curriculum decision making, particularly in support of selected curriculum research and development efforts. To suggest that "they" control curriculum decision making at the state or local level is naive and ill-founded. Of perhaps greater power than the substantive focus of federal aid to curriculum decision making is the imposition of a way of thinking and talking about curriculum demanded of any persons who choose to avail themselves of federal dollars or to meet federal regulations. The specifications for grant proposals require a systems/technological rationality that forces an economic model on the curriculum developer/evaluator. The potential consequences of technological rationality have been set forth by Macdonald.[5]

*"Who influences curriculum decision making? Nearly any organization, at any level, that has a concern. Who controls curriculum decision making? No one."*

With regard to state level of control and influence—the state still holds the ultimate obligatory responsibility for education of its children and youth. State control of curriculum decision making expresses itself in at least four ways:

[2] National Institute of Education Curriculum Task Force. *Current Issues, Problems and Concerns in Curriculum Development.* January 1976.

[3] Joel Spring. *The Sorting Machine.* New York: David McKay Company, Inc., 1976.

[4] Harold L. Hodgkinson. *NIE's Role in Curriculum Development: Findings, Policy Options, and Recommendations.* National Council on Educational Research, February 1977.

[5] James B. Macdonald. "A Curriculum Rationale." See: Edmund C. Short and George D. Marconnit, editors. *Contemporary Thought on Public School Curriculum.* Dubuque, Iowa: Wm. C. Brown Company, 1969.

1. Legislative mandates that define certain areas to be included in the curriculum for a specified amount of time each day for 180+ days.

2. Statewide textbook adoption policies in several states.

3. State approval of school charters and inspection rights over the curriculum are a particularly powerful control as many alternative schools have discovered.

4. State certification of teachers, administrators, and supervisors by approval of college and university programs. (For example, the Ohio plan for the redesign of teacher certification programs requires that the curriculum of all state accredited programs include preparing *all* teachers to teach reading as it relates to their specialty.)[6]

Where they exist, state textbook adoptions are without a doubt a most pervasive force. All are not equally rigorous or controlling, however. In a recent action in Texas, an example of strong state adoption practices, the Dallas school board by a vote of six to three overrode the state adoption list in favor of a "creationist" series of biology texts, workbooks, and instructional manuals.[7] This is one example of successful efforts on the part of local community pressures in opposition to state mandates.

In another state, a citizen's instructional materials review committee was formed at the behest of and including a "contemporary critic" of the schools through the president of the State Board of Education. Ground rules for the committee established at the request of the "critic" assured that only unanimously agreed on positions would be reported from the committee. No reports have been forthcoming. This is democracy and rational dialogue?

Not to be overlooked or underestimated as a force on curricular decision making is accountability legislation ranging from mandated reporting to citizens by each and every school district to a statewide standard high school exit examination as in Florida. Accountability legislation now exists in no fewer than 22 states. One characteristic of all these legislative actions is demand for improved performance in the so-called basic skills. The reality and threat of comparison of student performance data from class to class and school to school have created an atmosphere of unrest and mistrust among community, professional educators, and state legislatures. Some curriculum leaders in Michigan, an early entrant into the movement, feel that the assessment program has caused inordinate attention to be directed toward reading and mathematics instruction, with a consequent neglect of other important areas of student learning.

Another form of accountability legislation has been proposed for Ohio to be administered to all pupils in grades three, six, nine, and eleven as prerequisites to promotion to the next grade level. Simultaneously, forces continue to press for adequate programs to meet individual differences and broad-ranging social/emotional development. The proposed Ohio legislation does not limit to, but explicitly requires, examinations in reading and computation.

At the local level, citizens continue to hold the belief that ultimate control over educational decision making rests with the community. Given this point of view, one would assume the appropriateness of *direct* community involvement in policy formulation and decision making. The fundamental question remains—whose values are to be incorporated into the scenarios of schooling for youth in a given community? Clearly, among the most difficult concepts to incorporate into the mentality of any community and specific interest groups therein, is that a *monolithic* curriculum cannot serve the needs of a *pluralistic* society. The challenge is to orchestrate divergent value positions into a functional paradigm for schooling incorporating alternative modes and programs.

All the while that local curriculum leaders, teachers, citizens, and lay leaders believe they are making the critical program decisions, they may well be living a myth. The recent NIE Report notes that . . . "publishers supply the great bulk of materials used in schools, and instructional materials, especially textbooks, structure most classroom activity." Further, it is estimated that "95 percent of all classroom time involves use of textbooks."[8]

[6] State Board of Education. *Standards for Colleges or Universities Preparing Teachers*. Columbus, Ohio: Department of Education, 1975.

[7] J. Claude Evans. "Creationism Controversy in Dallas." *The Christian Century*. March 1977. pp. 188-89.

[8] Harold L. Hodgkinson. *NIE's Role in Curriculum Development: Findings, Policy Options, and Recommendations*. National Council on Educational Research, February 1977. p. 9.

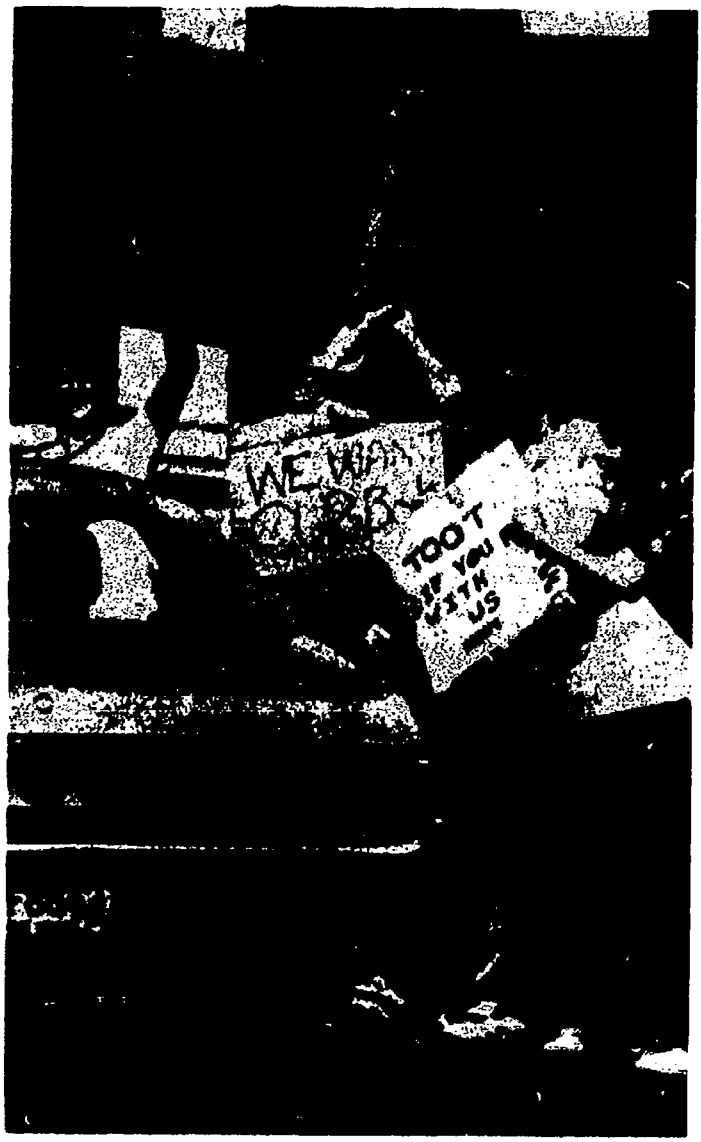



*Photo: William Tiernan, Charleston Daily Mail, West Virginia.*

Ziegler and associates concluded ". . . that superintendents, in spite of the rhetoric, are the dominant actors in educational decision-making, and that their decisions are only occasionally made within the context of community participation through interest groups."[9]

It is at the local level that the microcosm of political behavior in curriculum decision-making becomes most revealing. It is here we can observe most clearly the patterns and permutations of political power and control in curriculum affairs. Our study of who is involved at the district level and to what extent they are involved in the process, while of insufficient *breadth* to allow generalization, has yielded some insights.

One hundred seventy-five teachers and administrators in Northeast Ohio were asked whom they perceived as being involved and to what extent in selecting and organizing objectives, selecting textbooks, selecting and organizing content, and similar curriculum decisions. The findings so far show that:

1. Students are not involved at all.
2. Parents, individually or collectively, are rarely involved and when involved serve in an advisory capacity only.
3. Teachers, individually or collectively, tend to be involved in advising and deliberating, but rarely in making the decisions.
4. Principals and central office personnel are reported to be most active as deliberators and decision makers.
5. The superintendent and board of education are rarely sources of advice, seldom become *apparent* in the deliberations, but do decide and/or approve curriculum decisions.

Who influences curriculum decision making? Nearly any organization, at any level, that has a concern. Who controls curriculum decision making? No one.

## Tactics and Techniques of Curriculum Control (The Contemporary Ax-Grinders)

The forces opposing contemporary curriculum practices are, for the most part, "externals" who are extraordinarily well organized. These pressure groups are, in most cases, small. They articulate in a straightforward manner their stated beliefs, give the appearance of having a well-ordered rationale, are willing to take risks, and have economic resources. In fact, tracing the patterns of networks of organized resistance is revealing and enlightening. Not infrequently, patterns of generating activity and controversy follow the classic lines reported by Mary Anne Raywid in the *Ax-Grinders*.[10] Attacks are

[9] Harmon Zeigler, Harvey J. Tucker and L. A. Wilson, II. "Communication and Decision Making in American Public Education: A Longitudinal and Comparative Study." See: Jay D. Scribner, editor. *The Politics of Education*. 76th Yearbook of the National Society for the Study of Education. Chicago: University of Chicago Press, 1977. p. 223.

[10] Mary Anne Raywid. *The Ax-Grinders*. New York: Macmillan Company, 1962.

mounted against isolated specific textbooks, films, or programs, for example, as a way ultimately to meet a different agenda.

Current critics of curriculum are quite adept at hitting at value positions held by the majority (both lay and professional) and demonstrating adverse relationships between programs and those values. Why cannot schools successfully countervail the arguments? How does a vocal minority overwhelm a silent majority?

For reasons not readily verifiable, it appears that constituents of organized opposition groups wishing to specifically prod schools and press for a conservative viewpoint will decline opportunities to officially participate as lay members of textbook review and curriculum committees. The litany of curricular issues that tend to attract demands and foster conflict from external sources are well known: sex education, values clarification, evolution, the basics, accountability, racism, sexism, grading, and patriotism.

## Some Final Observations

We have touched on several aspects of political behavior and curriculum decision making that appear to exist in contemporary America.

1. We know far too little about the politics of curriculum. Political behavior is a necessary part of curriculum decision making. Attitudes of smugness or disdain toward the political is not only naive, it is foolhardy.

2. Federal interventions in curriculum stem from concerns for the national interest and tend to focus on those problems not adequately addressed by state or local curriculum decision makers.

3. Textbook publishers will respond to their clients—their power and economic survival rests with their ability to read the market.

4. External forces of greatest impact have targeted on basic cultural values in a highly organized manner. Internal decision makers seem to be ill-prepared to either anticipate reactions or posit new directions.

5. Policy formulation, function, and utilization are not well understood by school boards, central offices, or school district constituencies.

6. Distinctions between deliberating, deciding, and approving in relation to roles and responsibilities need to be better understood.

7. Reality is that locally held values will and must prevail.

8. Needs of varying groups and individuals to be heard and to participate in curriculum decisions tend to bring together unpredictable and unintended alliances.

9. External pressure groups are skillful at analyzing internal "soft spots" and will gain inroads through successful power plays, particularly when decision makers do not have conceptual control of their own curriculum affairs.

10. While the current scene suggests ambivalence and broad-ranging differences across the states, response to diverse pressures and forces will undoubtedly produce more sterile and stereotypic curricula unless all facets of the community (local through national levels) can be brought together to shape creative alternatives. Curriculum cannot tolerate "us-them" dichotomies.

It will no longer do for ". . . the educational system to function as a closed one in which the professional bureaucracy optimizes its power and consequently minimizes citizens' action."[11]

[11] Jay D. Scribner and Richard M. Englert. "The Politics of Education: An Introduction." See: Jay D. Scribner, editor. *The Politics of Education.* 76th Yearbook of the National Society for the Study of Education. Chicago: University of Chicago Press, 1977. p. 15.

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ALLAN A. GLATTHORN

# Curriculum Change in Loosely Coupled Systems

Some curriculum specialists continue trying to use a change process that ignores the organizational structures and relationships of contemporary school systems. They act as if the schools were tightly coupled systems in which orders from the top are transmitted unchanged through channels until they are ultimately carried out by the classroom teacher.

Recent research suggests that school districts are loosely coupled systems composed of subsystems operating somewhat autonomously (Deal and Celotti, 1980). This general theory is supported by specific findings indicating that teachers are jealous of their autonomy in curricular matters and strongly resist attempts by district supervisors to control what they do day by day in the classroom (Wolcott, 1977; Goodlad, 1977).

This is not a situation that should disturb us unduly for there is great strength inherent in such organization. I value the ability of the teacher to respond to the ever-changing demands of the classroom without much concern about district guidelines and bulletins. Yet there remains a need for systematic curriculum improvement. Teachers are not always well informed about a given discipline, and in many areas there is a need for at least loose articulation from grade to grade and school to school. We need a process of curriculum improvement especially designed for loosely coupled systems.

I have found one such process useful in my own work with school districts. While the following example illustrates steps in improving a curriculum for English composition, I believe a similar process could be used effectively in other subjects, except perhaps those—such as advanced science and mathematics—where clearly defined structure makes the textbook especially important.

Let us assume that someone in a leadership position decides, "We need a composition curriculum." If we were to follow the standard process used in most districts, we would assemble a composition curriculum committee, pay them to work together over the summer to produce a composition curriculum guide, hand it to the teachers, and then conduct some inservice sessions to tell the teachers how to use it. But that process doesn't always work even in tightly coupled systems. So we tell the leader, "Perhaps you do need a composition curriculum, but let's start with some staff development instead."

We begin, then, by designing a staff development program that will impact directly on the "taught" curriculum—what teachers actually teach day by day. We design the program so that it reflects the best available knowledge about the characteristics of effective programs. Figure 1 is a list of such characteristics derived from a very useful summary prepared by the ERIC Clearinghouse on Educational Management (1980).

**Figure 1. Criteria for Effective Staff Development Programs.**

1. The programs should focus on concrete, specific skills, not theoretical outcomes.
2. The programs should emphasize demonstrations, with opportunities to practice new skills and receive feedback.
3. The programs should be individualized, responding to the special needs of each participant.
4. The programs should be continuous, not "one-shot" injections.
5. The programs should be based in a school, not in some other setting.
6. The programs should involve school principals as participants, but not as planners.
7. The programs should actively involve teachers in designing the sessions, monitoring their effectiveness, and making appropriate modifications.

As we conduct the staff development program, we urge teachers to develop instructional materials, to share those materials, and to discuss curricular issues. In a sense the staff development program is a vehicle for beginning curriculum improvement while maintaining an emphasis on instruction. We have, then, teachers who are doing a better job of teaching composition; teachers who are informed by new perspectives and strengthened with new knowledge.

### The Mastery Curriculum

Our next step is to introduce to the teachers the concept of the "mastery curriculum" as a way of focusing their efforts. "Mastery curriculum" refers to that portion of the curriculum which meets two criteria: it is essential for all students; and it requires careful structuring if optimal learning is to take place. These criteria encompass the dimensions of essentiality and structure. The dimension of essentiality distinguishes between those learnings that are basic for all and those that are enrichment. That distinction is simple enough and can be made by any group of informed practitioners.

The dimension of structure divides the curriculum into structured and nonstructured learnings. Structured learnings require careful planning,

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*A flexible approach to curriculum development begins with staff development, uses curriculum mapping, and results in a loose-leaf notebook useful to teachers.*

sequencing, and articulation if they are to be mastered. Nonstructured learnings can be mastered without such careful planning and specification.

Those two divisions yield four kinds of curriculums, represented in the diagram above Figure 2.

The *mastery curriculum* is that part of any curriculum that is both basic and structured. It requires careful planning and articulation. Sequence is important; objectives and textbooks are useful; testing is essential. The *organic curriculum*, on the other hand, is just as essential, but does not require careful structuring. It can be employed by a sensitive teacher who knows how to use classroom interactions to facilitate organic learning. The affective outcomes of the curriculum are organic: "enjoying reading" is not a third-grade objective arbitrarily placed in a scope and sequence chart; it is an organic objective nurtured at every opportunity.

The *team-planned curriculum* is not essential—it is enrichment and it also requires careful structuring. Since it is not basic, planning can be left to teams of teachers who negotiate informal agreements about the enrichment curriculum from grade to grade. The *student-determined curriculum* is neither basic nor structured; its enrichment aspects can be developed solely out of the interests of able students.

The point of this analysis is to focus the efforts of curriculum planners. Only the mastery curriculum needs careful planning by district teams. If teachers accept this model, their curriculum work will be greatly simplified.

| Structure | ESSENTIALITY: Basic | ESSENTIALITY: Enriched |
|---|---|---|
| Structured | Mastery | Team-planned |
| Nonstructured | Organic | Student-determined |

**Figure 2. Composition Curriculum Mapping Form.**

**To the teacher of English Language Arts:** The Composition Task Force wishes to determine what the teachers in this district are teaching in the area of English composition. We have listed below the categories we have decided to use in gathering our data. For each category listed, will you please tell us what writing skills you emphasize in the grade level for which you are responsible. Please list only the major skills you emphasize for all students. The data will be useful to us in making decisions about the optimal placement of skills.

TEACHER'S NAME_____ GRADE_____

**Word Choice**

**Sentence Correctness, Sentence Combining**

**Paragraph Development**

**Personal and Creative Writing**

**Writing About Literature**

**Argumentation**

**Exposition**

**Applied Writing**

**Writing in Other School Subjects**

### Curriculum Mapping

Now we begin a process that English (1978) calls "curriculum mapping." While English advocates the use of mapping to establish "quality control" of the curriculum, it may also be used to systematize the taught curriculum. We map the taught curriculum by distributing forms such as those shown in Figure 2; the items on the form depend, of course, on which subject is being mapped.

After collating the mapping data, a committee of teachers evaluates the

results. Figure 3 is a sample set of criteria for evaluating the scope and sequence of a composition curriculum. The intent here is to be sure that the taught curriculum meets certain tests of quality and responds adequately to external constraints. If committee members find any major problems, they meet in small groups with teachers to resolve those difficulties. The revised data are then displayed in a scope-and-sequence chart.

The result is a scope and sequence that reflects the informed practice of teachers, responds adequately to state guidelines and parent expectations, and is in consonance with major research findings. But obviously, we need more than a chart. We need materials that will help teachers translate the scope-and-sequence chart into effective plans for learning. At this point we can forget the standard curriculum guide, since its format is not very useful for the classroom teacher. A better alternative is a loose-leaf curriculum notebook containing only the bare essentials: (1) A copy of the scope-and-sequence chart; (2) A summary of major research findings in the field, such as those shown in Figure 4 for composition; and (3) The objectives for each unit on the scope-and-sequence chart for each grade level. Objectives need not be written in strict behavioral language. They should be organized as student assignment sheets, such as the one shown in Figure 5.

We distribute the loose-leaf notebook to the teachers and tell them to make it their own, adding articles from the journals, classroom exercises they have developed, materials their colleagues have shared with them, and any materials developed in the inservice sessions. The loose-leaf format allows room for the guide to grow and change.

In summary, there are five important steps in developing a curriculum for loosely coupled systems:

1. Begin with staff development that focuses on instruction but raises curricular issues.

2. When the inservice is finished, map the existing or taught curriculum.

3. Use the mapping data to develop the final draft of a scope-and-sequence chart.

4. Evaluate the taught curriculum by measuring it against several criteria and modify it accordingly.

5. Use the revised scope-and-sequence chart in developing a loose-leaf curriculum notebook, which includes only the essentials.

It's a relatively simple and economical process—one that produces materials that will be used, not filed. ■

**Figure 3. Criteria for Evaluating Scope and Sequence of a Secondary Composition Program.**

1. Does the composition curriculum reflect the best available knowledge about language development, the composing process, and the teaching of writing?
2. Is the scope of the program sufficiently comprehensive so that all modes of discourse and elements of composition are emphasized?
3. Does the sequence of units from level to level provide for systematic development of important skills without excessive repetition?
4. Is the sequence of units of study sufficiently responsive to the changing interests and needs of adolescents?
5. Do the scope and sequence of the composition program make adequate provision for any basic competencies mandated by the state or local district?
6. Does the curriculum respond adequately to the reasonable expectations of local citizens and employers and emphasize for college-bound students the skills required for successful performance in college?
7. Is the scope and sequence plan easy to understand and implement, focusing only on the essential learnings that require systematic planning?
8. Is the distribution of skills and concepts grade-by-grade balanced in terms of the expectations for a given grade?

**Figure 4. The Teaching of Writing: Findings Gleaned from Research.**

1. The study of grammar is an ineffective way to teach writing and takes time away from reading and writing (Petrosky, 1977).
2. Frequency of writing is not associated with improved writing (Haynes, 1978).
3. There is a positive relationship between good writing and increased reading (Blount, 1973).
4. Beneficial results accrue from the use of such prewriting procedures as thinking, talking, working in groups, role playing, interviews, debates, and problem solving (Haynes, 1978).
5. "Teachers should give greater emphasis to the guiding of careful development of a limited number of papers, with attention given to direct methods of instruction and to the solving of communication problems before and during the writing process, rather than on the hurried production of a great number of papers" (Haynes, 1978, p. 87).
6. There is some evidence that sentence-combining practice, without instruction in formal grammar, aids syntactic fluency (Haynes, 1978).
7. While there does not seem to be any evidence to support one revision process over another, there is substantial evidence that the revision process itself is critical in improving writing (Bamberg, 1978).
8. The type or intensity of teacher evaluation of composition is not related to improved writing skill (Bamberg, 1978).
9. Written language is closely related to oral language. Teaching should emphasize and exploit the close connection between written and oral language (Lundsteen, 1976).
10. The quality of students' writing is not affected by positive or negative criticism, but positive comments are more effective than negative ones in promoting positive attitudes towards writing (VanDeWeghe, 1978).
11. Peer evaluation and editing are effective in improving writing skills (VanDeWeghe, 1978).

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**Figure 5. Expository Essay Assignment.**

**The Assignment.** You are an expert about many things—how to play a certain sport, how to do some craft or hobby, how to make something, how to achieve some school or personal goal. Identify a process that you know especially well. Choose an audience you would like to address. Then write an essay explaining the process. If you have trouble thinking of a topic, complete this statement: "I know how to. . . ." The essay should contain 4-6 paragraphs.

**Objectives:** Your essay should demonstrate that you know how to achieve the following writing objectives:

1. Select an appropriate topic for the essay and identify the audience.
2. Develop a plan for the essay, using chronological order.
3. Begin the essay so that is arouses interest and makes clear the main idea.
4. Identify the skills, materials, equipment, or special preparations required for the process.
5. Explain the steps in the order in which they are done.
6. Define and illustrate any terms not likely to be clear to the audience.
7. Provide enough detail in terms of the audience's knowledge and interest.
8. Conclude the essay.

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# Shared Leadership— "The Damn Thing Works"

David Weingast

*Superintendent Bruce Caldwell's philosophy of shared leadership was met with skepticism at first; it even scared some. Five years later there are both general approval and residual skepticism.*

"The damm thing works!" So spoke a veteran teacher about collegial responsibility in the Mansfield, Connecticut, public schools. To the naked eye it works too well to be believed. But in a concentrated effort to uncover weaknesses, I could only conclude that shared leadership in Mansfield is genuine. Conversations with almost a fourth of the hundred-person staff confirmed that this is the real thing, neither contrived nor superficial. It is happening in a semi-rural, sophisticated district of 1200 children distributed in three K-4 elementary schools and a 5-8 middle school.

The plan is not without defects and it might not be exportable. But this does not diminish its validity. The scheme has special importance because much that is called "shared leadership" in business, in education, in industry, and in the professions is really a great deal less.

Mansfield's leadership philosophy reflects the personality of its energetic but low-keyed superintendent, Bruce Caldwell. Secure, confident, sensitive, he seems relaxed about the high-risk game he plays; risky, because as superintendent he alone is accountable for what happens in his schools. He is comfortable sharing power and seems not to be troubled by giving his teachers responsibilities that in most places are the superintendent's own.

In Mansfield classrooms teachers conceive and write curricula, help to screen and nominate professional staff, help prepare the budget, schedule their schools, and bring recommendations to the Board of Education. Here in public the teachers defend their proposals and take their chances on acceptance. Mostly it is acceptance, because intensive labor will have gone into the presentation. The teachers will have conferred with the superintendent and heard his thoughts and his cautions. But a typical staff proposal will nevertheless reflect teachers' judgment on what to teach and how to teach it. On a rare occasion Bruce, as he is called by most of his staff, has been surprised by what he has heard his

teachers say to the Board. But when the Board asks him what he thinks about a teacher's recommendation Bruce responds readily. Good preliminary staff work almost assures that he will concur with the teachers' proposals. But if he disagrees he says so. All the while teachers and superintendent are mindful that both stand to lose if they get badly out of step. The plan absolutely requires that the parties trust each other, that they be willing collaborators, that they have common goals, and that the sharing process be continuous.

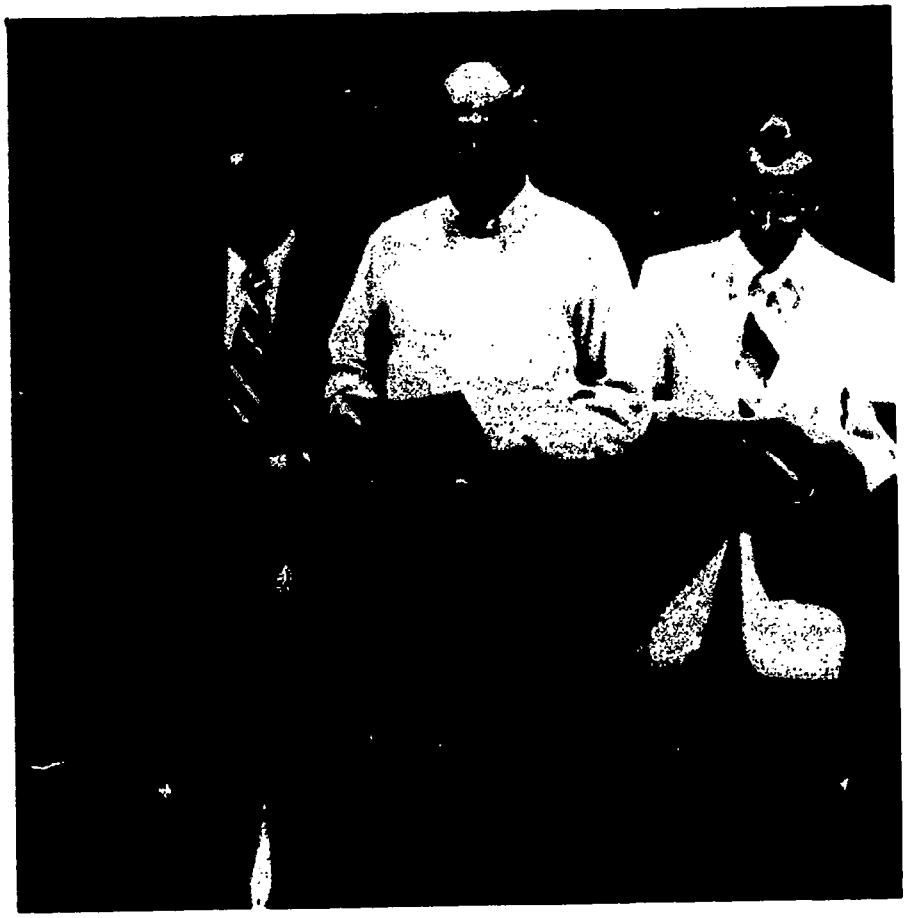
Bruce has full faith in the principle he practices. The teaching staff, he feels, will do its best work as partners of the superintendent rather than as subordinates. With joint responsibility for the educational enterprise, teachers have a big stake in its success. In their classrooms, Mansfield teachers are testing the validity of their own judgments, not the decrees of a higher official. In these circumstances, Bruce believes, the creative resources of teachers can best be put to work.

*"He is comfortable sharing power and seems not to be troubled by giving his teachers responsibilities that in most places are the superintendent's own."*

Bruce's convictions follow closely the theories of some seminal thinkers on leadership. Among the group whose beliefs dominate the executive management field are Abraham Maslow and Frederick Herzberg. Maslow put forth the idea of the hierarchy of needs. People, he said, have basic physical needs which, when satisfied, recede in their conscious minds. They then begin to look to the satisfaction of psychological, esthetic, and emotional stirrings. They want to be made welcome in society, to be appreciated, to be loved. Further, they yearn to express their talents and flourish when their accomplishments are recognized. These are the essentials for a person's growth, or in Maslow's terms, "self-actualization."

Frederick Herzberg after vast research concluded that two sets of discrete factors exist in most job situations. One set he calls "hygiene" factors, such as working conditions, supervision, company policy, interpersonal relations, security, and salary. The other group, labeled "motivators," includes confidence, trust, appreciation, recognition, responsibility, and the possibility of growth. Herzberg says that these "motivators," while they are the main force that drives us toward achievement, are often missing from the real world of work. Many employers concentrate instead on improving the hygiene factors.

Bruce Caldwell's schools exemplify the Maslow and Herzberg theses. Scholars and researchers in the management field have long endorsed these ideas but they have been able to identify few operational models. Herein lies the importance of the Mansfield system, a microcosm for the study of "motivators."



### Curriculum Councils

At the heart of the Mansfield plan are curriculum councils organized by subject. Teachers from the eight grades volunteer to serve on the council of their choice. Council members decide what curriculum work needs to be done and proceed to do it. They may write the curriculum themselves or get the help of outside consultants. A portion of the time needed for curriculum council meetings comes out of the school day; buildings are closed eight afternoons a year for this purpose. Additional meetings, as needed, are held during non-school hours.

*"To some teachers shared-leadership is a contrivance by which administrators shift their burdens to the teaching staff."*

Each curriculum council has an elected "convener," a "co-convener," and a recorder who handle administrative and clerical duties. Minutes of each session are available to the staff; anyone who is not a member of a particular council can learn from these minutes what is going on and may attend any council session.

Each council sets itself a goal and tries to reach its predetermined mark. Absenteeism is frowned on; a teacher who fails to show at meetings would sense the disapproval of colleagues. But there is no administrative attendance-taking or enforcement.

When a council has completed its task, presumably a curricular document, it would be ready to make its presentation to the Board of Education. Before this public session the superintendent will have met with the council, helping to shape their proposal, which could include curriculum objectives and content, techniques, teaching tools, supplies, equipment and staff. While the superintendent could not compel council members to accept his thinking, the group would at least have listened to him. Almost without exception, when a council proposal is ready for the Board, teachers and superintendent will have resolved any differences. But council proceedings are democratic; unanimity is neither required nor assured.

Not all Mansfield teachers are enamored with shared leadership. When Bruce came to town as superintendent he called the staff together to explain his philosophy and solicit their understanding. His shared-leadership idea scared some. Others didn't believe him. A few discerned the beginning of an era of interminable meetings. Five years later there are both general approval and residual skepticism. Bruce points out that with decision-making power go responsibility and accountability. This is not to the taste of some teachers who may object on principle. Others prefer to be told what to do. To some teachers shared-leadership is a contrivance by which administrators shift their burdens to the teaching staff.

**How Do Principals Feel?**

What about the principals—three elementary, one middle school, and one assistant? Shared leadership may have put them in an equivocal position. At curriculum council meetings it is obvious that teachers are making crucial decisions about the program of studies. While council meetings are open to the principals, it is obviously difficult for them to attend the half dozen or more councils that in effect meet simultaneously. Moreover the teachers speak of the principals as "facilitators." The principals, that is, are expected to create optimum conditions for carrying out the program which teachers for the most part have created. Not every principal relishes the role of facilitator. An old-fashioned principal, used to running everything, would be out of place here.

Mansfield's principals profess to be happy with the new spirit. At least a couple have infused shared-leadership thinking into their own buildings. But this has been by individual initiative; nobody is forced to do anything.

Principals speak admiringly of teachers' professional health as a consequence of the present philosophy. One principal said, "The teachers are professionals. They appreciate the fact that they have control over what happens in the school system."

Beyond the curriculum coun-

cils, nevertheless, principals see a big theater of operations in their respective school communities, with themselves as leaders. One said, "When parents call up they want to talk to the principal, not to a committee." In fact, shared leadership appears to be important chiefly to teachers, administrators, and the Board of Education. There seems to be little consciousness of it in the community.

*"Again and again in talking with teachers I heard them refer to their 'ownership' in the schools' program."*

Some elementary staff who favor the shared leadership idea nevertheless worry that the curriculum councils are set up according to subjects. In this they see a chance of excessive compartmentalization at possible cost to the whole child. They also caution that emphasis on separate subjects can adversely affect faculty cohesion.

Teacher power is a fact in Mansfield. Not the economic-political variety that hits the front pages, but in terms of fundamental authority to shape and operate the program of studies. And that's not all. When a vacancy occurs in a school the principal constitutes an in-house committee of teachers who, with him, develop specific job criteria, screen applications, interview candidates, observe them on the job, and make recommendations to the superintendent. Virtually without exception their proposals stick.

### How Does the Board Feel?

How does the Board feel about shared leadership? Skeptical at first, with predictable doubt of the propriety of a superintendent giving major power to teachers—but with successful experience the Board has come around. The Board knows it can expect mature, well-thought-out proposals from the teacher councils. When Board members ask the superintendent for his opinion they know they'll get an honest, informed answer. They also put some value on the fact that the councils present the collective thinking of skilled professionals. This, they feel, can be worth more than the judgment of even the most able superintendent acting on his or her own. Above all the Board has confidence in their superintendent. They see shared leadership as his personal style of operation and they're pleased with the results.

The Board is getting a good buy for their money. They like the quality of work produced by the teacher councils. They also know that teachers perform capably in the screening and selection of staff. In most school systems these jobs absorb costly administrative time.

### Is Shared Leadership Exportable?

Is this system exportable? Yes and no. For the plan to work, the superintendent would have to be both intellectually committed and emotionally attuned to this mode, and would need the support of a congenial Board, an education-minded community, and a high-calibre staff. These are exacting requirements. One teacher said, "It's hard to separate the plan from Bruce."

Bruce himself came to his present philosophy through slow maturation. He absorbed the heavy literature of leadership and was able to apply enlightened theory to the complexities of a school superintendency. Though he is contemplative, he is of this world, a formidable opponent in racquetball and a respected faculty regular on the basketball court. His steady performance in both sports hasn't hurt his standing in town one bit.

Mansfield's shared-leadership plan requires extensive, almost constant staff interaction—among teachers and with the superintendent. But the system is free of mush and sentiment. Each participant is likely to assert his individuality and this is respected. Bruce's own conduct of his office calls to mind Maslow's injunction, "When the facts say 'yes' and the public says 'no' the good leader ought to be able to stick with the facts against the hostility of the public."

Bruce's philosophy appears to have struck deep roots. Some old-timers on the staff think back to an era when they were "told what to do and how to do it, with four copies of everything." Mansfield's teachers work hard but there is no sign that they would trade their present responsibilities and gratifications for an easier life under a more traditional arrangement.

Again and again in talking with teachers I heard them refer to their "ownership" in the schools' program. They are proud of their accomplishments in curriculum and other major parts of school life which they have helped to create.

One teacher spokesman, reflecting on the superintendent's way, said, "It's not just that he's a nice guy. He has a philosophy. He has high expectations of me and I like that. I feel more respect as a person now." Perhaps this is the ultimate endorsement of shared leadership.

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# the buck stops here

# A Concerns-Based Approach to Curriculum Change

Susan Loucks and Harold Pratt

*Paying attention to teachers' concerns as they begin using a new curriculum helps assure that they will use it successfully.*

**Educational Leadership** 37 (Dec. 1979): 212–215


Curriculum change isn't easy. Almost any educator can provide a list of reasons why it won't happen: "The teachers won't support it"; "The principal won't support it"; "The central office won't support it"; "The teachers have been around too long"; "The teachers haven't been around long enough"; "The school's too big"; "The school's too small." Human nature is such that changing anything is usually more difficult than maintaining the status quo.

Change is a complicated process, which until recently had not been observed carefully enough to attend to all of its complexities and therefore to ensure meaningful and long-lasting effects. We've delivered curriculum to teachers in bright, shiny new boxes and expected students to have made achievement gains by the end of the year. We've torn down classroom walls in July and expected to see proficient team teaching and individualizing in September. Frequently, we have different expectations from one year to the next. We rarely attend to the individual teacher in the process, and often do not involve the teacher at all until the new program is delivered. In too many cases, the results of our ignorance have been unfulfilled expectations and increased frustration.

One reason for this situation is that until recently a clear, logical, and practical approach to the conceptualization and implementation of change did not exist. Such a model is currently being tested in a collaborative effort between a national research center and a large school district: the Research and Development Center for Teacher Education at the University of Texas at Austin (UTR&D) and the Jefferson County, Colorado, Public School District (Jeffco).

Researchers at UTR&D have developed a model for change called the Concerns-Based Adoption Model,[1] and have spent six years defining and initially

[1] G. E. Hall, R. C. Wallace, and W. A. Dossett. *A Developmental Conceptualization of the Adoption Process Within Educational Institutions*. Austin: Research and Development Center for Teacher Education, The University of Texas, 1973.

verifying its important dimensions by in-depth study in both school and university settings. Jeffco, a large school district west of Denver, Colorado, serving 81,000 students in 108 schools, has a long-standing commitment to districtwide curriculum planning. It has evolved a systematic curriculum development process[2] that involves teachers in all phases and in all decision making.

In early 1976, the Jeffco science department completed a two-year pilot study and field test of a revised elementary science program (grades three-six). Along with district staff developers, the science staff was beginning to grapple with problems of implementing the program districtwide. A systematic curriculum implementation process was needed to parallel and complement the development process. An introduction of the UTR&D staff and the concerns-based approach to Jeffco educators brought two worlds together; researchers and their model suggesting more effective ways to implement change, and practitioners in search of those better ways. A collaborative effort was soon underway.

Even before collaboration began, it was clear that both groups shared similar assumptions about change. These assumptions provided the framework for designing specific aspects of the implementation effort for the science program. They are:

1. Change is a process, not an event.
2. Change is accomplished by individuals, not institutions.
3. Change is a highly personal experience.
4. Change entails developmental growth in both feelings about and skills in using new programs.

### Change is a Process

The first assumption of the model is that change is not an event but a process that takes time. Too often policy-makers, administrators, and even teachers assume that change is simply the result of an administrative decision, legislative requirement, new curriculum acquisition, or procedural revision. The conviction lingers that somehow, with the opening of school, the change will have been made. However, R&D Center research indicates that three to five years are necessary to implement an innovation that is significantly different from current practice.

Initially, the Jeffco science department considered a fairly typical "hit and run" inservice effort—three inservice days for teachers, two weeks apart, at the beginning of the school year. Knowing that change takes more time than that, they reconsidered and planned a full year of inservice activities beginning with an orientation for administrators.

Teacher exposure to the program started with a brief "pre-inservice" session aimed at creating awareness of the new science program. Two months later the inservice began: three full-day released-time sessions, paced to correspond with changes in the classroom—each component scheduled as close as possible to the time of actual teacher use.

### Change is Accomplished by Individuals

The second assumption of the model is that the change process is experienced by individuals, not by institutions. For institutions to change, the people within them must change. Other approaches to change (organizational development, for example) view the institution as the primary unit of intervention, and focus on topics such as "communication" and "organizational norms." The concerns-based approach emphasizes the roles of individuals in the implementation process.

In accordance with the concerns-based philoso-

[2] Report of the Task Force to Define the Process of Developing Curriculum. Lakewood, Colorado: Jefferson County Public Schools, 1974.

phy, the Jeffco project paid close attention to the individual teachers who were implementing the science program. Between inservice workshops, two members of the science staff engaged in a variety of "comfort and caring" activities: talking with teachers in the teachers' lounge during the day, lunching with an individual teacher to discuss issues, observing science classes to help teachers deal with problems. In addition, inservice sessions offered choices of content and complexity for teachers with varying amounts of science teaching experience and confidence with the current curriculum.

The philosophy that individuals must be the major focus of interventions does not suggest ignoring the institution or its representatives. Support for teachers at the building level is vital to successful change, and Jeffco staff developers made every effort to ensure that teachers would have logistical as well as moral support at the school level. Before teachers became involved in the science program, school principals learned about the equipment and supplies needed, ordering and scheduling procedures, and other details. They also heard suggestions for how to be supportive of teachers in the change effort. In addition, the science department staff was available to principals and was called upon for various kinds of assistance, from cleaning and rearranging school science storage areas to rearranging teaching schedules and unit plans so teaching could go smoothly.

**Figure 1. Stages of Concern:**
**Typical Expressions of Concern About the Innovation**

| Stages of Concern | | Expressions of Concern |
|---|---|---|
| 6 | Refocusing | I have some ideas about something that would work even better. |
| 5 | Collaboration | I am concerned about relating what I am doing with what other teachers are doing. |
| 4 | Consequence | How is my use affecting students? |
| 3 | Management | I seem to be spending all my time getting material ready. |
| 2 | Personal | How will using it affect me? |
| 1 | Informational | I would like to know more about it. |
| 0 | Awareness | I am not concerned about it (the innovation). |

## Change Is Personal

The third assumption of the concerns-based approach is that change is a highly personal experience. Staff developers, administrators, and other change facilitators often attend closely to the trappings and technology of the innovation but ignore the perceptions and feelings of people. The personal dimension is often more critical to the success of the change effort than are the technological dimensions. Change is brought about by individuals, so their personal satisfactions, frustrations, concerns, motivations, and perceptions all play a part in determining the success or failure of a change initiative.

In line with this philosophy, the inservice training offered to Jeffco teachers was not the same for everyone. Participants included both professionals and beginners, so training was geared to varying levels of teacher expertise. To attend to the diversity of interests and needs, choices of content and learning format were available at various times during inservice sessions. The leader-to-teacher ratio was kept small by using trained, enthusiastic classroom teachers, who had already taught the curriculum, as leaders.

## Change Entails Growth in Feelings and Skills

The fourth assumption is that change is a developmental process involving both the feelings and skills of individuals. Individuals go through stages in their affective orientation to the innovation, and in their skill and sophistication in using it. Research at UTR&D has identified seven "stages of concern" that individuals experience as they implement change. (See Figure 1.)

Six years of research indicate that as an innovation is adopted, concerns develop through these seven stages. Initially, individuals have primarily *self*-oriented concerns; those of an informational and personal nature. ("What is it?" "How will it affect me?") As use of the innovation begins, concerns become *management*-focused; concerns about materials, scheduling, and time requirements are uppermost. When management problems become resolved, concerns can become focused on the *impact* of the innovation upon learners; concerns about consequences, collaboration, and refocusing become dominant.[3] To be relevant to teachers who are implementing new programs, inservice activities should be addressed to resolving the different concerns as they emerge.

The Jeffco science implementation effort was designed with the Stages of Concern model in mind. The "pre-inservice" sessions were designed to address informational and personal concerns (stages 1 and 2). They were held for small numbers (teachers from two schools) in a familiar setting (one of their schools). The content was informational: a science department member described the program with an entertaining slide presentation, noted what changes had been made,

[3] For concerns readings, see: G. E. Hall and W. L. Rutherford. "Concerns of Teachers About Implementing Team Teaching." *Educational Leadership* 34(3): 227-33; December 1976; G. E. Hall and S. F. Loucks. "Teacher Concerns as a Basis for Facilitating and Personalizing Staff Development." *Teachers College Record*, September 1978.

described plans for inservice, suggested schedules for teaching, and distributed the new teacher's guide. The atmosphere was intimate and informal, with a question and answer session so individuals could ask whatever they wished.

The three full-day inservice sessions held later focused on management concerns (stage 3). Teachers worked with the materials, experiencing the learning process their students would use. Classroom management techniques were demonstrated and discussed.

It was anticipated that some teachers at the inservice sessions, particularly those who were experienced in science teaching, would have more "consequence" (stage 4) than "management" concerns. To address these teachers' concerns, self-paced instructional modules were made available. Modules were developed around student-focused topics such as the implications of Piaget's work for teaching science, techniques for stimulating student talk in discussions (such as using "wait time"), and using the out-of-doors for teaching science concepts. Time periods were allotted during the inservice days for teachers to choose either group work, in which they could get more detailed assistance in use of materials, or work with the modules.

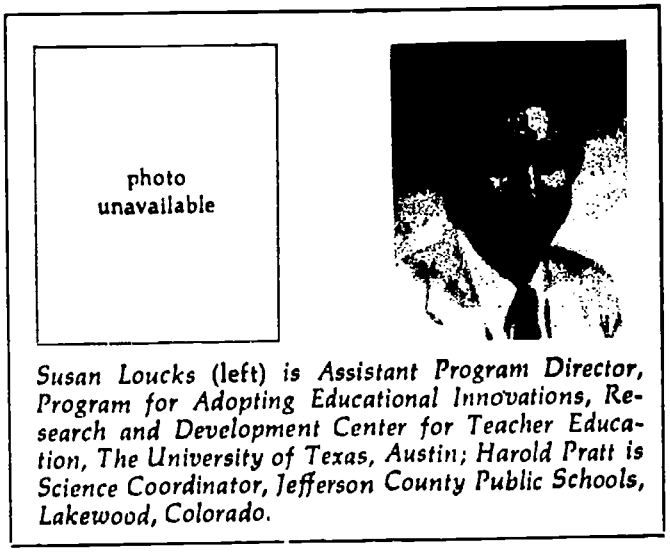
## Outcomes and Future Directions

Three years have passed since the Jeffco implementation effort was designed, and the new curriculum was first introduced into the schools. Although collaboration with district staff developers is ongoing, the study in schools has been completed. What have we found out? Preliminary data analysis indicates first, and perhaps most important to any implementation effort, that science teaching is occurring across the district.[4] In many cases, teachers who had neither the time nor interest to teach science before are now doing so. Workshop questionnaires indicate a high level of satisfaction with inservice content and format. Science department staff, who continue having personal contact with teachers, say teacher commitment to and enthusiasm for science teaching is greater than ever.

These outcomes are highly satisfying, but there are also many questions that remain unanswered. Informational and personal concerns are lower, and concerns about management and consequence have increased. We believe that many of these concerns will be resolved with experience.

Some teachers are beginning to have consequence concerns; most do not. Should they? If so, how can consequence concerns be brought about? If initial inservice training was focused mainly on management concerns, should later inservice efforts attend to consequence concerns? What should be the workshops' content and format?

Another interesting outcome is that different schools appear to have different profiles of concern. There is more and more indication that principals in these schools have had a great deal of influence on whether teachers remain with management concerns, or whether these are resolved and consequence concerns emerge. Our research indicates that what the principal does is critical to the success of an implementation effort. Does the principal make sure equipment and time are available for the new program, indicate that use is indeed a priority, provide moral support when needed, and legitimize early failures when they occur? Where this is true, teachers have resolved management concerns; where this kind of support does not come from the principal, management concerns often remain high. What is the principal's role in change? How can he or she be prepared to play that obviously vital role?

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Although many questions are as yet unanswered, the continuing collaboration between UTR&D and Jeffco has added to knowledge about the process of curriculum implementation. We are beginning to shed some light on the complex nature of change in education, but the illumination reveals a whole roster of new questions to pursue. The continuing effort promises benefits not only for the two institutions, but also for others interested in school improvement.

[4] Reports of teacher change over time, measured by their stages of concern and levels of use, include: S. F. Loucks and G. E. Hall. "Implementing Innovations in Schools: A Concerns-based Approach." Paper presented at the annual meeting of the American Educational Research Association, San Francisco, April 1979; S. F. Loucks and M. Melle. "Implementation of a District-wide Science Curriculum: The Effects of a Three-year Effort." Paper to be presented at the annual meeting of the American Educational Research Association, Boston, April 1980.


*Successful implementation of new programs requires planning, an appropriate strategy, and staff development.*

# Implementation: Neglected Phase in Curriculum Change

Jerry L. Patterson and Theodore J. Czajkowski

**Educational Leadership** 37 (Dec. 1979): 204–206


The stark reality about curriculum change[1] is that it seldom happens as expected. While those of us who work with curriculum have suspected this for some time, recent investigations have confirmed it.[2]

The most common explanation is that we fail to attend adequately to implementation. We make our way through the initiation, development, and adoption phases of curriculum change, but then we do not take steps necessary to achieve a satisfactory level of implementation.[3] Our innovations do not enter the classroom; they do not affect day-to-day interaction between teachers and students. Three components of implementation that seem most often neglected are planning for implementation, applying change strategies, and conducting staff development.

## Planning

Because much of the joy for those involved in the curriculum change process lies in creating, initiating,

[1] Curriculum change in this context refers to any conscious deliberate attempt to bring about change in the curriculum of a school or school system.

[2] See, for example: Decker F. Walker. "Toward Comprehension of Curricular Realities." Lee S. Shulman, editor. *Review of Research In Education.* Volume IV. Itasca, Illinois: F. E. Peacock Publishers, 1976; Michael Fullan and Alan Pomfret. "Research on Curriculum and Instruction Implementation." *Review of Educational Research* 47:335-97; Winter 1977.

[3] For a detailed account of levels of implementation, see: Gene E. Hall and Susan F. Loucks. "A Developmental Model for Determining Whether the Treatment is Actually Implemented." *American Educational Research Journal* 14:263-76; Summer 1977.

and developing, too little attention is given to planning for implementation. Often, by the time a new curriculum framework has been approved and textbook materials ordered, it's time for curriculum leaders to start creating, initiating, and developing something else. Curriculum change often ends with the adoption phase.

When planning does occur, it may suffer from several inadequacies. Resources are often insufficient. In most cases, at least two years are necessary for implementation to reach a routine level of use. Yet, responding to a variety of pressures, decision makers press for implementation within a few months because resources are needed in other areas, and because demands are made for instant evaluation.

Failure to plan for the involvement of those implementing the curriculum is another source of neglect. As Fullan and Pomfret put it:

> Research has shown time and time again that there is no substitute for the primacy of personal contact among implementers, and between implementers and planners/consultants, if the difficult process of unlearning old roles and learning new ones is to occur. Equally clear is the absence of such opportunities on a regular basis during the planning and implementation of most innovations.[4]

Teachers may not have to make all the decisions, but at the very least there must be ways for them to develop a feeling of commitment to its use.

A related mistake in planning occurs in overlooking the importance of communication during the implementation process. One cannot assume that teachers will implement a new curriculum successfully if only they understand it well enough. Planning for implementation requires formal channels of two-way communication among those involved in implementation.

Many times, plans for implementation fail to account for the culture of the school as arbiter of how and what change actually occurs. Sarason's work, *The Culture of the School and the Problem of Change*,[5] is a major contribution toward understanding school culture and its relationship to curriculum change processes. Research on this phenomenon is beginning to add further clarification.[6] Looking ahead, the 1980 ASCD yearbook[7] will include a thorough examination of the culture of the school as it affects the curriculum change process.

### Strategies

Depending on the situation, several different strategies may be appropriate for the implementation process.

Most models for bringing about curriculum change assume a strategy of *reason*. The leader uses logic to get potential implementers to see the need for a particular curriculum change. Advocates of this strategy assume that when teachers are more knowledgeable, they will try to reduce the discrepancy between what is and what ought to be. Unfortunately, the reason strategy is rarely successful. According to Zaltman, Florio, and Sikorski,[8] the following conditions are necessary for applying a reason strategy: (a) failure to change is due mainly to a lack of knowledge about alternatives; (b) goals are well defined and generally accepted; and (c) the means to implement

[4] Fullan and Pomfret, *op. cit.*, p. 391.

[5] Seymour Sarason. *The Culture of the School and the Problem of Change*. Boston: Allyn & Bacon, 1971.

[6] See: Karen Seashore Louis and Sheila Rosenblum. "The Effect of School Structure and School Culture on the Implementation of Planned Change." Paper presented at the annual meeting of the American Educational Research Association, Toronto, Ontario, March 1978.

[7] Arthur W. Foshay, editor. *Considered Action for Curriculum Improvement*. Alexandria, Virginia: Association for Supervision and Curriculum Development, forthcoming.

[8] Gerald Zaltman, David Florio, and Linda Sikorski. *Dynamic Educational Change*. New York: The Free Press, 1977.

change are clearly communicated and feasible. Such conditions are rarely found in educational institutions. However, they are more likely to be found at the implementation stage than at other stages in the change process.

Although not universally effective, *power* strategies have been used successfully for achieving implementation. A power strategy is one that usually emanates from the top down, and the school or teachers have little control over the decision to participate. Conditions appropriate for a power strategy include situations where change must occur rapidly and where the implementers are so opposed to the change that the change strategist decides it will be productive to change behavior first and hope that attitude change will follow. An example of a power strategy is the federal requirement that handicapped students have an individual education plan. Even though many times the incentive for compliance with a power strategy is to avoid negative sanctions, such a strategy may achieve a degree of implementation when reason will not.

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One of the more successful strategies for implementing change is *influence*.[9] Other labels used to describe it are persuasion, seduction, and manipulation. The major premise of this strategy is that implementation will take place if conditions are made sufficiently appealing for the implementers. For example, if a feature associated with a new middle school curriculum is additional planning time for teachers, the teachers may become committed to implementation because of the increased planning opportunity, not the innovation *per se*.

The decision of which strategy or combination of strategies to use depends on the basis of commitment for change, the incentive for changing, and the settings in which the change is to occur. Consideration of these factors can help reduce the high mortality rate of implementation efforts.

### Staff Development

Several recent studies have found that implementation failed because curriculum leaders neglected to provide adequate staff development opportunities.[10] It was assumed that teachers already had the expertise to implement the change. Two areas of staff development deserve mention here. First is re-education—the development or refinement of competencies necessary to implement the innovation. This may take the form of a consultant for a publishing firm explaining the instructional techniques of a commercial program, or it may include a series of sharing sessions among colleagues on teaching ideas for a new curriculum unit. Whatever the form, re-education is a necessary component of staff development. If teachers can't perform the instructional behaviors required of them, implementation cannot take place.

A second component is resocialization—the development or refinement of roles and role relationships required for implementation. This means changing certain interactive skills, attitudes, and habits. Or, as Fullan and Pomfret describe role relationships, it means teachers being able to ". . . recognize the range of behavioral alternatives open to them, ascertain which ones are applicable in a given setting, and change accordingly."[11] Giacquinta concluded from his research that resocialization is difficult if not impossible to bring about.[12] Nevertheless, resocialization is essential for implementation to be successful.

Explanations for neglect of implementation in the curriculum change process range beyond and are more complex than the factors discussed in this article. For example, many forces beyond the control of those involved in implementation shape the destiny of the proposed change. But by acknowledging past inadequacies and acting on them in the future, we can implement new programs more effectively and get on with other phases of the curriculum change process.

[9] *Ibid.*, p. 87.

[10] See, for instance: P. Berman and M. McLaughlin. "Implementation of Educational Innovation." *Educational Forum* 40:345-70; March 1976. See also: Joseph B. Giacquinta. "Educational Innovation in Schools: Some Distressing Conclusions About Implementation." Paper presented at the annual meeting of the American Educational Research Association, Toronto, Ontario, March 1978.

[11] Fullan and Pomfret, *op. cit.*, p. 363.

[12] Giacquinta, *op. cit.*, p. 8.

**Educational Leadership** 39 (Jan. 1982): 276–278


*Schools can use the approach to policy development employed by corporations to answer a new set of questions, interpret information, and consider the consequences of decisions.*

# Curriculum as a Strategic Management Tool

FENWICK W. ENGLISH AND BETTY E. STEFFY

In the corporate world, strategic management has emerged as a new approach for policy development and long-range planning. It has been fueled by the desire of corporations to be in the most advantageous position possible in relation to market forces and environmental constraints. The application of strategic management techniques requires finding answers to a new set of questions, offers new ways to interpret information, and forces consideration of the future of current decisions. Strategic management has been defined as "management by structured foresight" (Steiner and Miner, 1977).

Applied to the educational community, strategic management may provide the process that could restore confidence in public education, confidence based on clearly demonstrated success in anticipating future problems and opportunities and designing strategies to cope with and profit from them.

Not-for-profit organizations such as school districts possess unique organizational characteristics that affect the application of strategic management techniques (Newman and Wallender, 1978). These include the diversity of objectives sought, the uniqueness of the clients (students), outcomes that are often hard to assess, weak consumer (student) influence, reduced allegiance of teachers to school districts due to commitments to unions or associations, the intrusion of government into the internal management of district resources, and restraints on the use of rewards and punishments as a result of negotiated contracts and courts or arbitrator decisions. Because of these characteristics, education is more often managed in a short-term operations sense than in a strategic, long-term mode.

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### Steps in the Strategic Management Process

Steps involved in the strategic management process include organizational goal formation, environmental analysis, strategy formation, strategy implementation, and strategic control (Schendel and Hofer, 1979).

*Step 1: Shaping Organizational Goals.* Establishing the goals of the organization is the first step in the strategic management process. For education, this is most often accomplished through policy statements developed by the board. Board policy reflects the power and personal goals of educational stakeholders in the broader educational community, and the condition of the organization and its relation to the educational community. The priorities given goals through policy statements are instrumental in the formulation, evaluation, and implementation of strategy in addition to determining how goal conflicts will be resolved. Board policy is a reflection of the organization's mission. The mission statement of a district must reflect congruence between the institution and the community that supplies the resources, clients, employees, and sanctions to operate the school. Board policy that facilitates the strategic management process provides a unifying foundation and direction for planning.

*Step 2: Environmental Analysis.* Not only is the present environment analyzed, but future environmental conditions are forecast as well. Stating assumptions about the future represents a crucial step in the process. Given the rapid rate of change and the degree of uncertainty with which schools must cope, increasing efforts must be focused on scanning the environment for new opportunities and potential problems. Knowing which factors to consider is difficult, and overlooking a significant factor may be a more serious error than forecasting it inaccurately. Given the present environment in education where high school graduates may choose among 90,000 occupations and where technical knowledge is doubling every ten years, it is hard to project accurately ten years ahead. However, to plan for the wrong future penalizes our youth. As stated by Alvin Toffler:

> If the schools have any function, any justification, it is to prepare young people for the future. If it prepares them for the wrong future, it cripples them.

*Step 3: Strategy Formation.* Strategy formation deals with the development of a specific plan to meet the goals. As a first step in the development of a new plan, it is essential to evaluate the effectiveness of any

existing strategy. This process includes:

- Describing the current planning process, identifying board policy supporting this process, and analyzing the environmental assumptions on which the plan was developed
- Determining whether the plan was effective, to what extent and in which areas
- Comparing the environmental assumptions used in developing the previous plan with the assumptions regarding the future educational environment
- Determining whether the strategy used in the past is appropriate for the future.

This task is often compounded by the inability to determine whether failure to meet the desired objectives was the result of the strategy employed or ineffective management. Answering this question will affect a decision to continue with the present strategy, modify the strategy, or adopt a totally new strategy.

*Step 4: Strategy Implementation.* Guiding the implementation of the strategy is a crucial task. While essentially an administrative function, success or failure of the plan is closely related to the administration's ability to communicate with staff; develop a supportive, nurturing environment; and provide the leadership necessary to implement the plan. Provision must be made for monitoring the implementation process and making adjustments based on short-term and long-range feedback.

Helping staff acquire the skills necessary to implement a strategy should become the basis for design of the district's staff development program. When the staff development program is integrated into the long-range goals of the system and this relationship is understood and supported by the staff, the likelihood of effective implementation of the plan is greatly enhanced.

### Engaging in Strategic/Tactical Curriculum Decisions

The curriculum is a management tool of strategic importance because it is a response to a mission statement for the entire system, it implements policies adopted by boards of education, and it serves to ensure the public and the board of consistency in the implementation of the overall policies of the district as they are translated into teaching activities and pupil outcomes. It does this by forcing the system's resources to flow in specified directions. It is an instrument to create *strategic control*, which responds to such environmental pressures as:

- Immediate and long-term fiscal pressures, sometimes highly regressive, that may reduce staff, materials, or time for selected facets of the educational program
- Shifts of the contents of the curriculum to include something "new" or downgrade or reduce the curriculum's current emphasis as the result of legislative mandate or public demands
- Staff reaction, acceptance, rejection, or indifference to any particular area of the curriculum
- Changes in policies that reflect an overall shift of content emphasis as developed by boards of education.

### Master Policy: The Value Base For Curriculum Development

As a strategic management tool, the curriculum is a means to carry out a school district's strategic decisions. Policies that define the framework for strategy development or function as a strategy are called master policies. These are usually developed by legislative bodies.

The purpose of policy development is to create a political value base from which a curriculum can be designed. As such, the value base defines the concerns and sets the priorities and emphasis for the curriculum that delivers them.

Policies often are simply statements of the things the board "believes" are true or the way things "ought to be." From the perspective of the private sector, policies are framed to answer the questions at the heart of any enterprise: "What business are we in?" and "Are we in the right business?" (Drucker, 1973). Despite the simplicity of these questions, they are not easy to answer.

For example, a business may diversify and grow into providing many services beyond those provided at its inception. These may involve significant capital investments and personnel. When the question "What business are we in?" is asked, the answer may therefore become clouded. When the answer is forthcoming, it may not be the appropriate response to "Are we in the right business?"

In education, the schools have taken on many social services over the years. Today, schools administer public health policy in the form of disease immunizations, prepare students to drive automobiles, feed and clothe some students, and provide a variety of direct special services and act as a referral for others.

Were these services established by policy or by expediency? Do they detract from the central function of schooling? What business are schools in? Are they in the right business? If the consequences of those decisions and the time and energy devoted to them had been calculated *at the time* laws were passed, would they have been passed or would another agency have been created or selected to handle them?

Master policy must ask and answer the question regarding the aims or mission of the schools. Curriculum becomes the strategic management tool to carry out such a policy.

### Projecting Decisions into the Future

The curriculum represents a series of decisions at all levels of a school system about what will be important tomorrow. It is a projection into the future and is not amoral, scientific, or totally unbiased. It involves making decisions about social utility and value since the possibilities of activities or content far exceed the capacity of any curriculum to include them all.

What is included in a decision regarding curriculum content depends on how one defines "a good decision." Howard (1977) defines a good decision "as a logical consequence of what you can do, what you know, and what you want."

Perhaps the most important part of a good decision lies in "what you want." This means that any curriculum developer has some idea of the preferences he or she brings to the task of creating a strategic plan for a school district and/or the processes by which such preferences are defined.

The curriculum developer works with both the values of the dominant system and his or her own personal values which shape both the content and emphasis of the strategic plan. Knowing "what you can do" refers to the options open in this case, the school system or the teachers who will implement the curriculum. "What

you know" refers to information about the kinds of relationships described and their importance in developing a curriculum.

The curriculum of a school system is therefore a strategic statement of the system that determines how it selects activities, organizes its resources, and determines how well it has performed its function within the overall policies it was constructed to implement.

### Curriculum as Tactics

From the curriculum, teachers and other building level support personnel may engage in *tactical decisions* that enable the curriculum to be effectively implemented simultaneously in a school district servicing many pupils of diverse backgrounds and interests in multi-instructional sites.

A tactic is the delineation of a specific curriculum for a separate program, a school, or a specific instructional station because it fits into a larger strategy, deals with problems already structured at higher levels, and is less risky in terms of providing a reasonable linkage to master policy. The more curriculum development is translated into instruction the more it becomes a tactic and the less uncertainty there is in its implementation. This continuum of curriculum as both a strategy and a tactic is shown in Figure 1. As competency testing becomes more of a nationwide practice, the trend across the nation has been to develop more and more detailed curricular guidelines (tactics) to ensure their congruence to tests.

### Beyond Curriculum Cycles

Strategic management emphasizes systemwide, high level management decisions. It provides for the identification of ideas that are potentially powerful for affecting the school district, ideas that are currently focused on, and ideas that affect the distribution of funds to and within the organization. Ideas that are powerful in guiding actions are considered ideas in good currency. Curriculum topics presently in good currency include basic skills, citizenship, and energy education. Ideas in good currency can usually be plotted on a life cycle moving from a period of latency, when only a few individuals are concerned with the issue, to a period of growth, when there is widespread support for the concept, to a period of peaking or leveling off, and finally to a period of decline. Strategic management will identify these cycles and move decision making into a realm that not only includes but goes beyond them. From the perspective of strategic management, some of the conflicts regarding thinking about curriculum as policies or as engineering are seen on a continuum rather than as totally opposite conceptions.

Strategic curriculum thinking and decision making must go considerably beyond the engineering or tactical level. As such, it is an exercise in policy development and *politics* rather than simply a technical exercise devoted to technical issues. Curriculum development is *both* strategy and tactics. How one looks at it is not as much a matter of taste or philosophy, as a matter of the organizational level at which the curriculum issues are being considered. ■

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**Figure 1. Curriculum Development Continuum.**

| | Strategy | Tactic |
|---|---|---|
| **Scope** | Systemwide, all levels | Program, school, or classroom specific |
| **Specificity** | Low level of detail | Higher level of detail |
| **Delineation of Instructional Methods** | Broad or nonexistent | Embedded and more specific, closer to the classroom |
| **Organization, Location of Decision** | Highest levels of management/policy | Much lower level, building, classroom |
| **Risk Involved** | High risk, more uncertainty | Lower risk, much less uncertainty |
| **Assessment** | Broadly indicated as a requirement upon which to make decisions and re-examine policy | Specifically delineated by objective, type, expected standards of achievement for groups of students |
| **Consideration of Alternatives** | Broad, conceptual | Narrow, operational |

## Topic H

# The Supervisor as Leader in Staff Development

STAFF DEVELOPMENT IS A VITAL PART OF THE OVERALL SCHOOL OPERATION. Traditionally, supervisors have judged the responsibility for providing for the professional growth of school personnel to be one of their three most important tasks. (The other two are improvement of instruction and curriculum development.) In that same tradition, however, inservice education programs were most frequently planned for teachers based on the needs of teachers as perceived by supervisors, principals, and other administrators. Courses, workshops, and sessions were planned that focused, for the most part, on training designed to improve one or many teaching skills. So common has been that focus that, in the vocabulary of many, the expression "inservice training" was interchangeable with "inservice education."

In recent years inservice education or staff development practices and programs have been widely criticized—particularly by teacher groups and individual teachers who have been the primary targets of those practices and programs. The activities of traditionally oriented inservice education or staff development programs have often been labeled irrelevant, ineffective, and wastes of time and money. More recently supervisors have begun, with fresh interest and strong determination, to seek ways of responding effectively to the professional growth needs and interests of teachers and all other staff members.

Responding to this desire to develop more effective means for meeting staff development needs, scholars and practitioners have begun to share, through their writings, research findings in the staff development area, suggestions for more effective programs, and reports of success.

All of the articles in this section emphasize the need for more effective staff development programs. Supervisors at all levels will find the research that is reported, the models proposed, and the guidelines set forth in the articles to be of practical value in improving their own staff development activities and programs.

Drawing on the findings of the Rand Corporation research, McLaughlin and Berman report that "one lesson emerged clearly: successful change agent projects seem to be operating as staff development projects." They identify factors associated with successful projects that provide "clues" for staff development. Their findings suggest "two very different ways to view teacher training—a deficit model and a developmental model." The description of their developmental model with its stress on individual and small-group learning offers a promising alternative to the districtwide, large-group activities so prevalent in past years in staff development programs.

Miller chides administrators and supervisors for focusing all inservice education on teachers, and for ignoring the need to help "key leaders (those at the top) gain new understandings and skills." His list of seven characteristics of effective inservice education will be useful to supervisors as they give leadership for staff development.

Firth identifies ten issues to be considered by those who are responsible for planning the staff development program. In presenting each issue he reflects the perceptions of both school administrators and teachers. The strength of this article is in its reminder to the student of supervision and the practitioner that there is another vantage point from which to view staff development—that of the teacher—and that the challenges and pressures of those who have that second vantage point are often different from those of the individuals who usually plan staff development activities.

Erickson reports a "nominal group process" that he used to improve staff development by bringing into the open factors that inhibit change. The technique is designed for use by a school faculty in assessing their staff development needs. Erickson describes his approach in sufficient detail to allow the interested supervisor to implement his technique.

Wood and Thompson focus on the learning styles of adults and list 11 facts related to adult learning. They then offer six guidelines for effective staff development based on what is known about staff development and about adult learners. For the practitioner who wants to know "where it's being done," Wood and Thompson offer their description and recommendation of the model staff development program of Long Beach Unified School District in California.

The final article in this section is a synthesis of research on staff development prepared by the ERIC Clearinghouse on Educational Management. The findings and their implications reinforce the message of the authors of the other five articles.

Three themes are common to four of the six articles—in those by McLaughlin and Berman, Miller, and Wood and Thompson, and in the ERIC report. These common themes are: (1) a need for more teacher involvement in selecting what they will learn and how it will be packaged and presented, (2) the necessity for knowing the characteristics of adult learners and for planning staff development programs that meet the needs of adult learners, and (3) the importance of providing opportunities for individual and small-group learnings.

The following questions may prompt the reader to look more closely at the articles. Is the staff development program with which you are most familiar based on a deficit or on a developmental model? Give the characteristics of the program that provided the basis for your response. Assuming, as Miller does, that administrators and supervisors need inservice education, what strategy would you employ to launch an effective program for them? If you were to draw up a list of ten issues on staff development today, how would that list differ from the 1977 list that Firth generated? What is your reaction to Erickson's suggestions for dealing with "common constraints?" Does the model program described by Wood and Thompson "measure up" when their guidelines for effective staff development are applied?

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# Retooling Staff Development in a Period of Retrenchment

Milbrey McLaughlin and Paul Berman

*The effective district staff development model provides a variety of options, it has a flexible program format, it stresses individual and small-group learning, it is concrete and directly tied to ongoing activities. Yet, effective staff development depends much more on the district's point of view about principals and teachers as learners than on the specifics of the staff development program.*

Two reasons seem to underlie the current resurgence of interest in staff development. One has to do with student enrollment decline. More and more districts are faced with the reality of fewer students, a decreased budget, and consequently, a stable and possibly stale staff. Districts have fewer opportunities to "hire" enthusiasm and new ideas, but instead must consider the professional development needs of the staff they already have. A second reason is that research has confirmed what practitioners knew all along: new technologies, "validated" programs, or more money are not panaceas. Specifically, researchers have shown that the "best" educational products in the hands of unmotivated or inadequately trained teachers are unlikely to fulfill their promise. Thus, the research community is beginning to turn its attention from assessing the effectiveness of educational "products" to the training and professional development needs of teachers.

While staff development is increasingly recognized as a critical concern for school districts—not just a frill or an extra—there also seems to be consensus that current staff development practices are poor. Teachers, administrators, researchers, and bureaucrats all agree that current staff development or in-service programs are irrelevant, ineffective, and generally a waste of time and money. To make matters worse, most staff development programs lack any solid conceptual model. Instead, "staff development" within school districts typically appears to be a hodgepodge of incompatible workshops and courses.

What would an effective model of staff development look like? For the past four years, Rand has been doing research on how change comes about in local school districts. The Change Agent Study [1] involved survey research in 293 Title III, Vocational Education Part D, Title VII bilingual, and Right-To-Read projects in school districts across the country. Intensive fieldwork was done in 30 of these districts. As we reviewed the data collected from these very different local innovative projects, one lesson emerged clearly: successful change agent projects seem to be operating as staff development projects.

[1] P. Berman and M. McLaughlin, *Federal Programs Supporting Educational Change: The Findings in Review*, R-1589/4-HEW, The Rand Corporation, April 1975.

Our findings about the components of successful "change agent" projects offer clues for staff development. Specifically, we found that neither the amount of money spent on a project, nor the particular project technology was consistently or significantly related to project success. Instead two local factors were among the most important in determining the outcomes of projects.

One factor was institutional support from administrators: Did the district really want the project? Were they supporting teachers' efforts?

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*"While staff development is increasingly recognized as a critical concern for school districts—not just a frill or an extra—there also seems to be consensus that current staff development practices are poor."*

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Were the principals behind it? We found that principals were the "gatekeepers of change." Unless they actively supported the project, it seldom worked and was hardly ever continued after three or five years. One key indication of principals' commitment turned out to be their participation in staff training activities, not just in attending the first "orientation lectures," but also in their regular attendance at workshops.

### Implementation Strategy

The second factor related to project outcomes was the "implementation strategy"—local choices about how to put a project into practice. A number of components of an implementation strategy emerged as particularly and consistently important to successful change agent projects:

1. *Local Materials Development.* Staff in successful projects spend a lot of time developing their own curriculum materials. As we tried to understand why this contributed to success, it seemed to have less to do with the virtue of the pedagogical product, but more to do with staff development—a learning by doing exercise.

2. *On-line Planning.* By this we mean a kind of project planning that began a month or two before the project started and continued all the way through it, not just the first years. This planning mechanism provided a format—usually regular staff meetings—in which teachers or administrators could say, "Something is not working," "It is working," "We should revise our objectives," and so on. This mode of planning allows project guidelines and methods to be revised over time, based on the changing needs and experience of project staff.

3. *Concrete Ongoing Training.* This training continued through the first, second, and third year of the project and was related to online planning. It was training that was typically offered by local people; it was concrete; and it was hands-on.

What do these components of a successful implementation strategy have in common? How do they relate to staff development? First of all, they are highly relevant to ongoing classroom activities. They are typically user-identified; through ongoing planning, teachers can play an important role in identifying what their training should be. These strategies are flexible and able to change as needs change. They support individual learning. In short, they seem to describe "a heuristic model" of staff development.

Stepping back from these findings, the change agent research suggests that there are two very different ways to view teacher training. One could be described as a deficit model, which in the extreme attempts to supply "teacher-proof" packages. This model tries to do away with problems by doing away with process. But by doing away with the process, chances to learn are also lost. The second model is a developmental model that focuses on problem-solving methodologies. Instead of trying to do away with the process, this model tries to give teachers the skills to identify and solve problems themselves. The change agent study clearly found the second model to be the more effective approach to staff training and to enduring change.

Though these findings were derived from studying innovative projects, they appear to hold for the broader issue of retooling staff development in the present and coming period of retrenchment. Analogous to the two models of teacher training, school districts seem to subscribe to one or the other of two perspectives or strate-

gies toward the continuing need for staff development. One strategy is, consciously or not, built on a deficit model.

### The Deficit vs. the Developmental Model

The deficit model assumes that problems in the school or with teachers have to do with inadequate information, inadequate skills, and so on; if these skills and information could only be imparted to teachers, they would be more effective in the classroom. Not surprisingly, these staff development programs are typically "top-down"; they seem to imply that the experts in the central office clearly know what teachers' needs are, and so will prescribe a regimen of programs for the deficient. There is little staff participation either in the determination of the format, or in deciding what should be offered. Moreover, programs are typically standardized across the district. For example, all teachers of the appropriate grade level would be required to attend a "validated-product" reading workshop or a sure-fire math workshop, which often relies on the lecture/consultant format—the delivery-of-truth-and-knowledge. Little or no attention is paid to an individual teacher's needs or to a particular school's needs. The major incentives for participants in systems using the deficit model seem to be credit on the salary scale or fulfilling the relicensing regulations with little or no release time for teachers.

We have seen the deficit model used in a number of school districts, with predictable results. Teachers thought the workshops were irrelevant and, moreover, that the district cared little about the staff development program. Teachers in these systems felt that the administration was participating in a ritual—that staff development was not a priority for the district. Otherwise, the district would make arrangements for release time and involve teachers in the design of the program. So teachers perpetuated the ritual, too. One teacher told us, for example, "I may have to go and I'll collect my $30, but I don't have to listen." The result, as we looked around districts where the deficit model operated, was a lot of the same old practice, despite the introduction of new technologies. Very little that was different was actually going on in the classroom.

In sharp contrast to the deficit model, some districts have approached the continuing need for staff development with a different point of view and with markedly more success. Rather than give it a new label, we simply say they followed a "developmental strategy." A developmental strategy is not any single program, for these successful districts all used different programs, but rather it is a point of view that pervades the whole district—a set of expectations about the role of teachers, about their professional needs, and about their responsibility for solving their own problems in the classroom. The developmental point of view can be summarized by six characteristics:

*"The major incentives for participation in systems using the deficit model seem to be credit on the salary scale or fulfilling the relicensing regulations with little or no release time for teachers."*

1. Developmental districts give discretionary funds as well as considerable authority to principals and teachers, and they do so in both good and bad times. For example, one large economy-minded school district had to shave $5 million off its budget. But one item that school board members and administrators agreed could not be cut was the discretionary funds. They felt that if teachers and principals are going to be held responsible for what happens in their school, they need the resources and authority to do the job.

2. The continuing "training" of principals was considered both necessary and appropriate. The developmental districts recognized the shift that has taken place in the role of the principal in the past decade—from authoritarian administrator to educational leader to school manager. To fulfill this changing role, developmental districts expect and require principals to participate in staff training activities and to transfer to other schools at regular intervals.

3. Several developmental districts have established teacher centers that serve a variety of functions. Effective teacher centers are attractive, not broom closets. They are comfortable and give

the impression the district is putting its money behind its rhetoric. Where these teacher centers worked, they provided the context for useful peer interaction, for cross-fertilization, and for peer evaluation. These informal activities, in our judgment, were more important than any of the new technologies or programs that were part of the formal center activities.

4. Districts that have an effective staff development program do not insist on a standardized district program. They emphasize small groups, for instance, groups of about four to eight within a school working collaboratively on the same need.

*". . . the best staff development program will fail in the long run unless district central administrators explicitly see principals and teachers as professionals and visibly support their efforts to learn and grow."*

5. Developmental districts relied on local resource people to guide innovative efforts whenever possible. These districts utilized joint governance in determination of staff development needs and activitities. The joint governance between teachers and administration seems to be critical to staff development programs for a number of reasons. For example, different people in the system have very different perspectives on what teachers' needs are. A program decision structure that incorporates varying perceptions about teachers' needs is more likely to receive the support and commitment from all those involved.

6. Developmental districts use release time instead of monetary incentives for staff training. Providing release time is difficult, but is not an insurmountable obstacle. Districts, with the cooperation of parents and the school board, can juggle schedules and provide this time. The provision of release time seems critical for at least two reasons. One, teaching requires an enormous amount of physical and psychic energy; it is unrealistic to expect teachers to undertake significant professional growth activities entirely in the evenings or on weekends. Second, provision of release time seems to provide a "signal" to teachers that the district takes their professional development seriously, and that they should take it seriously as well. Clearly, there has to be some kind of combination of personal time and release time, but if staff development programs are to contribute to the vitality and quality of a district's educational program, release time is an issue that cannot be swept under the rug.

In summary, the effective district staff development model, just like the successful change agent model, seems to be heuristic. It provides a variety of options; it has a flexible program format; it stresses individual and small-group learning; and it is concrete and directly tied to ongoing activities. In short, staff development is assumed to be an adaptive learning process in which: (a) learners—namely, principals and teachers—have different needs at different times; (b) learners themselves must know what it is they need to know; (c) learners must be willing; and (d) learners must be *able*. The structure, or the formating of staff development, must be something that supports learning, and principals and teachers must have enough energy left after work to go on learning. But the best staff development program will fail in the long run unless district central administrators explicitly see principals and teachers as professionals and visibly support their efforts to learn and grow. In the final analysis, effective staff development depends much more on the district's point of view about principals and teachers as learners than on the specifics of the staff development program.

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# What's Wrong with In-Service Education? It's Topless!

**William C. Miller**

*In today's staff development programs, everyone must work diligently to improve his/her skills. This means that administrators and supervisors, too, must work along with teachers to improve effectiveness.*

Overall, the results of staff development have been disappointing. This is true for many reasons. One major factor is that in-service education, for the most part, has been directed at teachers—the training has been "topless"—"topless" in the sense that sufficient commitment and resources have not been utilized to help key leaders (those at the top) gain new understandings and skills.

Usually, it is those at the top who make decisions about who needs in-service experiences and what the nature and content of those experiences should be. Strangely, these leaders are quick to identify individuals and groups needing "updating," but seldom identify that need in themselves.

In today's climate, *everyone* must improve his/her skills. Today's declining enrollments and shrinking resources call for the ultimate in effectiveness and efficiency. Mistakes were often overlooked when funds were available, but in a retrenchment situation, errors or ineffectiveness are highly visible.

Better and more effective staff development for leaders is needed for another reason: Few new staff members are being hired. Renewal and reeducation are necessary so that staff members can meet new challenges and keep up with new developments. Turnover of administrators is among the lowest of any educational group. Thus, if we are to bring about the changes required, those in present leadership positions must be the ones to do it. To foster these skills in administrators will require effective educational as well as training experiences.

## Training vs. Education

Most in-service experiences focus on imparting specific skills—that is, on training. Training is designed to promote conventional, conforming behavior and to help the trainee to face situations exactly like those for which the training has been designed. The aim is to prepare the trainee to respond in a set and predetermined way. Training seeks to make participants the same.

Education is a broader term. Education is designed to stimulate divergent thinking and to help those being educated to respond creatively and effectively to situations which, at present, cannot be envisoned. The aim of education is to impart concepts and principles.

Of course, in many situations, training is appropriate and necessary. But because teaching, learning, and educational administration are sophisticated processes, actions must be based on solid theory and philosophy. Actions must flow from a deep understanding of the nature of learning and of effective practice. In today's "pressure cooker" atmosphere, the temptation to use quick, expedient solutions is great. Only through an appreciation of the long term impact of any

approach can the best course of action be chosen by the teacher or administrator.

### What Is Effective In-Service Education?

We know from research that learning is a process involving experiencing, doing, and reacting. The purposes of the learner must be taken into consideration, and the learning situation must be realistic to the learner. Learning occurs through a wide variety of experiences, using materials and activities appropriate to the learner. The most effective learning takes place when the learner can see the results and has good feedback about his or her progress. These principles of learning are as appropriate to the in-service education of teachers and administrators as they are to youthful students.

*"The most effective learning takes place when the learner can see the results and has good feedback about his or her progress."*

Imparting broad and holistic principles related to the learner's purposes is the most functional kind of in-service education. Such learnings call for educative as well as training experiences.

Taking into account the preceding facts about learning, it becomes clear that in-service must be:

1. *Cooperatively planned* (involving those who are to be affected by the experience)
2. Based on carefully and cooperatively conducted *needs assessment*
3. Focused on high intensity needs that are as *central* as possible (real versus peripheral instructional improvement needs of the group)
4. *Continuous* (or at least having continuity) as opposed to "one shot" efforts
5. *Activity oriented* and/or provide hands-on experience
6. Sensitive to, and provide for *individual needs and differences*, where possible
7. *Evaluated* on the basis of the changes engendered in the individual's work situation (school or classroom) and on the impact of these new behaviors on those with whom they work (faculty or students).[1]

While principles of learning hold true for both children and adults, there are some characteristics of mature learners that are worth noting. Knowles advocates that:

> The important implication for adult education practice of the assumption that learning is an internal process is that those methods and techniques which involve the individual most deeply in self-directed inquiry will produce the greatest learning. This principle of ego-involvement lies at the heart of the adult educator's art. In fact, the main thrust of modern adult-educational technology is in the direction of inventing techniques for involving adults in ever-deeper processes of self-diagnosis of their own needs for continued learning, in formulating their own objectives for learning, in sharing responsibility for designing and carrying out their learning activities, and in evaluating their progress toward their objectives. The truly artistic teacher of adults perceives the locus of responsibility for learning to be in the learner; he conscientiously suppresses his own compulsion to teach what he knows his students ought to learn in favor of helping his students learn for themselves what they want to learn.[2]

### Needed: Education for Leaders

Schools need to be improved. If this is to be done, our administrators must play a leadership role. Brickell points out:

> New types of instructional programs are introduced by administrators. Rearrangements of the structural elements of the institution depend *almost exclusively* upon administrative initiative. Teachers are not change-agents for innovations of major scope. Even when free to guide their own activities, teachers seldom suggest distinctly new types of working patterns for themselves.
>
> The administrator may promote—or prevent—innovation. He cannot stand aside, or be ignored. He is powerful not because he has a monopoly on imagination, creativity, or interest in change—the opposite is common—but simply because he has the authority to precipitate a decision. Authority is a critical element in innovation, because proposed changes generate

[1] Wayne County Intermediate School District. *In-service Education*. Staff position paper. Detroit: Wayne County Intermediate School District, 1974. p. 3.

[2] Malcolm S. Knowles. *The Modern Practice of Adult Education: Andragogy vs. Pedagogy*. New York: New York Association Press, 1970.

mixed reactions which can prevent consensus among peers and result in stagnation.[3]

Leader behavior is a powerful force in influencing teacher behavior. Administrators should behave toward teachers in the way they would like to see teachers relate to students in the classroom. Modeling is a powerful "in-service" tool. As Goldstein and Sorcher noted:

Greater modeling will occur when the model (the person to be imitated), in relation to the observer, (a) is of apparent high competence or expertness, (b) is of high status, (c) controls resources desired by the observer, (d) is of the same sex and race as the observer, (e) is apparently friendly and helpful, and of particular importance, (f) is rewarded for engaging in the depicted behaviors. That is, we are all more likely to model powerful but pleasant people who receive reinforcement for what they are doing, especially when the nature of such reinforcement is something that we too desire.[4]

It seems that the administrator is in an excellent position to influence teacher behavior, and that role modeling is an effective way to do so.

It has also been found that leader style can affect pupil achievement. In Stogdill's exhaustive survey of the theory and research concerning leadership, he says in summary: "When teachers and principals are described high in consideration and structure, their pupils tend to make higher scores on tests of school achievement."[5]

Research by Keeler and Andrews substantiates these findings. Their research found that:

All of the statistics give strong support to the hypothesis that leader behavior of the principal, as perceived by his staff, was significantly related to the productivity of the schools. . . . The weight of evidence supported the hypothesis that the morale of the staff of a school . . . was related to productivity.[6]

In the often-quoted *Perceiving, Behaving, Becoming*, it is pointed out that:

The leader's philosophy in action affects the lives of all children in the school system. The way he feels about people, and the manner in which he operates, is felt by the lowliest and most elevated person on the staff and the weakest and strongest child in the system. The leader who is characterized by self-trust, openness and trust in others will, by his very behavior, help others to learn self-trust, openness, and trust in others. He will help them to acquire stature and integrity. He will solicit and weigh opinions and ideas, work cooperatively on school problems, hear all sides of difficult problems, take and show a genuine interest in fellow workers as persons as well as workers.[7]

The preceding is a beautiful statement about the importance of the role of the leader and about the qualities of good leadership. The hopeful thing is that leadership skills and qualities can be learned. Again, looking to Stogdill's extensive research, we find that:

The early research on training of group members in patterns of behavior characterizing successful leaders suggests that individuals profit from such training, becoming more active and effective leaders.[8]

Results of research suggest that direct training in techniques of leadership result in improved effectiveness as a leader. A relatively large body of research on sensitivity training indicates that such training results in increased leader sympathy with the human relations approach, greater awareness of self and others, and more receptivity to follower initiative and responsibility.[9]

*". . . it seems obvious that more resources must be directed toward leadership development and toward 'education' rather than 'training.'"*

What are the skills and qualities necessary for effective leadership? Unfortunately, there are

[3] Henry M. Brickell. "State Organization for Educational Change: A Case Study and a Proposal," In: Matthew B. Miles, editor. *Innovation in Education*. New York: Teachers College, Columbia University, 1964. p. 503.

[4] Arnold P. Goldstein and Melvin Sorcher. *Changing Supervisor Behavior*. Elmsford, New York: Pergamon Press, Inc., 1974. p. 28.

[5] Ralph M. Stogdill. *Handbook of Leadership: A Survey of Theory and Research*. New York: The Free Press, 1974. p. 140.

[6] B. T. Keeler and J. H. M. Andrews. "The Leader Behavior of Principals, Staff Morale, and Productivity." *Alberta Journal of Educational Research* 9(3):179-91; September 1963.

[7] Arthur W. Combs, editor. *Perceiving, Behaving, Becoming: A New Focus for Education*. 1962 Yearbook. Washington, D.C.: Association for Supervision and Curriculum Development, 1962. pp. 216-17.

[8] Stogdill, *op. cit.*, p. 198.

[9] *Ibid.*, p. 412.

aspects which are not usually dealt with in administrator preservice education. Indeed, they are infrequently given attention in in-service education. These are areas such as needs assessment, conflict resolution, community and interpersonal relations, team and trust building, identifying and working with influence structures, and change strategies.

Based on this information, it seems obvious that more resources must be directed toward leadership development and toward "education" rather than "training." As Johnson found in his careful study of personality characteristics of superintendents and their willingness to accept innovation: "The high innovative superintendents are more outgoing, more assertive, more venturesome, more imaginative, more experimenting, and more relaxed than the low innovative superintendents."[10]

It is easy to see the importance to good education of effective leaders. Stogdill warns:

> The survival of a group is dependent upon a type of leadership able to keep members and subgroups working together toward a common purpose, maintain productivity at a level sufficient to sustain the group or to justify its existence, and satisfy member expectations regarding leader and group. Competent leadership is especially needed in times of crisis to unite the efforts of members and strengthen group cohesiveness around a common purpose.[11]

In our present situation, inservice cannot be satisfied focusing only on training, and it cannot afford to be topless! FL

[10] Homer M. Johnson *et al.* "*Personality Characteristics of School Superintendents in Relation to Their Willingness to Accept Innovation in Education.*" In: Henry Hausdorff, ed. A.E.R.A. Paper Abstracts. Washington, D.C.: American Educational Research Association, 1968. p. 280.

[11] Stogdill, *op. cit.*, pp. 419-20.

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# Ten Issues on Staff Development

**Gerald R. Firth**

*Noted and discussed are ten issues critical in implementing any staff development enterprise. Unless these issues are responded to appropriately, teachers and administrators may simply become "increasingly proficient in tasks in which they should never have been engaged in the first place."*

The end of the teacher shortage simultaneously with the reduction in funding for the encouragement of innovation returns the burden of program improvement squarely to local school districts throughout the nation. Although assistance will continue from intermediate units, state education departments and, to some extent, federal agencies and philanthropic foundations, a much greater effort must be generated at the local level. The major vehicle for meeting this challenge appears to be assuming the form of staff development programs.

Deprived of the influx of new teachers to motivate change in the existing patterns of operation and limited in outside finances to support pilot projects, local school leaders must draw the major stimulation for programmatic progress from members of the regular teaching staff. Fewer replacements and opportunities for personnel to attend externally planned workshops place greater responsibility on the local district for renewal of its own teaching force.

Staff development is well established as a positive force in the improvement of education. The current manifestation differs in its increased breadth of purpose, scope of activities, and accountability for results. Experience during the past several years has led the public to expect improvement in educational affairs, and over periods of time, even the most reluctant of school staffs has been caught up in the impetus generated in the post-Sputnik era as new curriculum projects became the order of the day.

The current enthusiasm is for staff development, but before many school systems embrace staff development programs as a possible panacea, ten issues deserve careful examination. This examination demands attention now even if fuller answers must be postponed until a later date when additional experience is available.

Each of the ten issues is presented to reflect the respective perceptions of school administrators and teachers. This distinction is not to suggest that conflict will necessarily exist between the different points of view. However, it is intended to indicate that even in the same situation, administrators and teachers are subject to different pressures and therefore do not necessarily consider the same challenge in precisely the same way.

Such a comparison emphasizes the different views of staff development held by the administrators charged with the responsibility of planning such programs and by the teachers assumed to have the obligation of participating in them. Unless these differences are recognized and agreements reached, it is unlikely that staff development programs stand much chance of success.

The possible and probable responses by both administrators and teachers are presented on each of ten critical issues in regard to staff development programs. These responses address (1) concept, (2) basic purposes, (3) common priorities, (4) strategies, (5) inducements, (6) participation, (7) progress, (8) incorporation, (9) alternatives, and (10) assessment.

1. *Concept*—The first issue focuses on the extent to which the concept of continuous staff development can be integrated into education. Too often administrators view change in limited perspective, taking comfort in changes that occur one step at a time. Each change is intended to bring faculty members into line with current practice, to emulate neighboring schools, or perhaps to eliminate the most obvious weaknesses. Teachers currently are developing a strong philosophical commitment to change as a professional credo. They also share the same tendency to consider change in small doses. Teachers tend to move down a particular path to a specific point or, in more graphic terms, to jump from rock to rock. Administrators must create an environment with long-range perspective that assumes that a change is merely a plateau enroute to another. In like manner, if teachers aspire to attain status as professionals, they must accept the fact that their circumstances have changed, are changing, and will continue to change.

*". . . if teachers aspire to attain status as professionals, they must accept the fact that their circumstances have changed, are changing, and will continue to change."*

Both administrators and teachers must expect to revise their procedures directly, continuously, and almost momentarily. Anticipation offers the key to appropriate response to educational change, and this ingredient is noticeably absent from staff development programs.

2. *Basic purpose*—A second issue concerns the degree to which agreement can be reached on basic purposes for staff development. Administrators expect conformation to program requirements and situational responsibilities. Their belief persists that staff development is something that is done to and for teachers. Many administrators attempt to set the standards that they consider acceptable and, with more candidates available than teaching vacancies to fill, attempt to enforce these standards upon teachers. Teachers desire improvement of their own particular capabilities and professional careers. In many states, teachers have taken responsibility for staff development into their own hands in the belief that such programs should be controlled by the teachers themselves. Through contract negotiation, litigation, and other means, teachers have demonstrated the intention to exert a stronger influence in shaping their own destiny. Administrators must recognize the collision course that is inevitable and perhaps imminent if they press to impose their demands upon teachers. The latter must recognize the need to temper their demands with the realization that the school is making a substantial investment in the program. If staff development is to be successful, administrators and teachers must collaborate to establish purposes that encourage teachers to improve their skills within a program that concurrently advances the school enterprise compatible with the intentions of the administration.

3. *Common priorities*—A third issue involves the extent to which direction can be set on common priorities for staff development. Administrators expect to determine the desired changes to be sought in members of the faculty. They seem to provide leadership in installing changes that are deemed appropriate to a particular school situation. The setting of even general priorities to which all schools can subscribe is extremely difficult because, even in a district of moderate size, vast differences often exist among the school units to be served. Teachers expect to determine their own personal needs for improvement. Preferences often are set on the basis of general needs or frequency of requests. Differences in preparation and experience tend to be perpetuated by the single salary schedule, but far more significant differences—in intelligence, personality, interests and similar factors that affect responses to student behavior and learning styles—are not taken into account. Priorities often are set on the basis of general factors or the frequency of requests. Considering a teaching force en masse will not

give the best information for planning the development program. Perhaps qualitative rather than quantitative indices should be examined.

4. *Strategies*—A fourth issue involves the extent to which appropriate strategies or activities for staff development can be selected. Administrators seeking change in the school program utilize strategies that modify the environment in which the teachers function. Some introduce an element or a change agent from outside the system into the existing situation. Others retrain a task force or team typically composed of individuals demonstrating potential for leadership by brief immersion in a different situation before returning to operate in the target system. Still others concentrate personnel supportive of the change by redeployment, transfer, or removal from a particular school. Teachers who initiate change, by whatever strategy, at best experience altered relationships with peers and at worst are alienated by them. Approval of the innovative teacher's actions too often comes only from a different reference group with norms that anticipate different behavior patterns. They may earn the esteem of their new colleagues by successful performance in the new arena. Teachers also may be conferred status in the organization structure as a reward for innovation. The significance lies not in the choice of strategy, but in the fact that those most appropriate for the administration to employ in changing the school program are not the same as those for the teachers who seek to introduce innovations in their classes. Resolution of this issue requires that the strategy selected maximize the purposes of staff development for individual teachers while contributing to the goals and objectives of the school enterprise.

5. *Inducements*—A fifth issue is concerned with the extent to which adequate inducements can be marshaled to sustain staff development. Administrators encourage teachers to qualify for remuneration provided by the district board of education, usually in the form of salary increases, and often are held responsible for monitoring renewal of certification required by the State Board of Education. However, the salary increases often are insufficient to justify obtaining certification beyond the level of the master's degree. Perhaps even more critical than lack of monetary reward is the tendency to discriminate in hiring practices against teachers who pursue advanced study. It is actually more difficult for experienced teachers to be employed at the higher salary levels (M.A. or Ed.S.). They literally have priced themselves "out of the market." Preference for employment is given to inexperienced teachers who have only the baccalaureate degree.

Teachers, on the other hand, desire to be employed in the field of major preparation and/or at the appropriate level of certification. Yet they consider themselves place-bound with the result that they accept positions that do not remain in a particular area of study. Such teachers actually block individuals with appropriate qualifications from positions when they offer to teach in fields outside their strongest preparation and in assignments requiring lesser certification. This is accomplished in the name of democratic choice. Personal motivations, a local tie, political patronage, or cronyism frequently are of greater significance than any professional criterion. Moreover, the cost of additional education is measured in terms other than money. Absence from home and family, particularly for summer sessions, convenience of car pools to evening classes, and other such peripheral factors far outrank the additional salary involved.

*"Perhaps the effect of a teacher is greater when he/she helps a few students make substantial progress in achievement than when he/she helps a large number of students a little."*

Obviously administrators have the obligation to encourage teachers to improve themselves. However, there is something inherently wrong in the concept of "buying" teacher acceptance even if it were possible to do so. It is at best poor psychology, and at worst a form of bribery. At the heart of the inducement issue is the degree of honesty by which both administrators and teachers are willing to broker change. If fair play is to dominate, other alternatives merit exploration. One possibility is a career ladder based on performance criteria. The opportunity for assignment from teacher ranks to leadership positions or to

an instructional team may, for many, be the appropriate professional inducement. Such an approach surely would be preferable to the current practice of teachers ignoring their immediate staff development needs to prepare themselves for non-instructional positions in other school systems.

6. *Participation*—A sixth issue focuses on the extent to which participation can be obtained in staff development activities. Administrators expect all faculty members to engage in most activities that those leaders conduct or approve. In attempting to involve as many teachers as possible in a brief time period, leaders invariably sacrifice quality. The obsession to involve the faculty in the same program ignores the fact that one program, no matter how comprehensive or flexible, cannot serve the needs of all teachers simultaneously. Even a highly efficient operation is unable to bring all teachers to the same level of competence. Staff losses due to resignation, retirement, or new teaching assignments, and new entrants as replacements or additions make "single treatment" staff development programs impractical. Unless a range of activities is available, those who cannot benefit from one program must bide their time until the next phase can be created.

Teachers, however, expect to have freedom of choice regarding the source from which necessary assistance can be obtained. This other side of the participation issue is a function of the presence of teachers of widely varying abilities and attitudes. Some individuals wish to move ahead rapidly and press to be able to do so. Others are apprehensive and reluctant. The tendency to begin with the more responsive group will intensify the distance between its members and those who are less willing to participate. In such a process, the good become better, but there is little contribution to the consolidation of change. Such action also identifies the movement with the more competent members of the faculty. There is considerable logic that staff development should be initiated for the less competent faculty who are most in need of assistance. However, such action tends to stigmatize the program and enhance the difficulty of subsequently involving the more competent faculty members.

7. *Progress*—A seventh issue is concerned with the extent to which progress in staff development can be achieved on a continuous basis. Administrators respond to community mores that tend to direct or restrict change. Occasionally the popularity of certain changes among school patrons encourages rather than discourages change. However, such support may be temporary and infrequent. A national study conducted in 1967 under the auspices of the North Central Association of Colleges and Schools revealed that few schools were considered highly innovative but that these typically moved simultaneously on several fronts. Often early innovators subsequently eliminated such programs and returned to their previous state. Curiously the schools that received considerable publicity as early innovators had difficulty sustaining the operation(s) over time. Other districts motivated by the publicity to follow at a later date were more likely to maintain the innovation. The experience with innovations in curriculum, instruction, and organization offers a lesson for staff development as well. It suggests that a staff development effort mounted in response to popular demand may flourish for a time, but the effort is likely then to atrophy and be discontinued. It would seem most desirable to tie staff development intimately to other activities, particularly changes in curriculum. Long-term progress can be achieved only if such linkage capitalizes upon multiplier effect.

The matter of maintaining progress in staff development is viewed from a different perspective by teachers. Many teachers have psychological limitations that prevent their embracing changes urged on them. Often their attitudes grow out of experiences with staff development activities that have held little value for them. Staff development programs will be accepted readily by teachers as they become convinced that they, through the program of staff development, can gain improved competency to resolve problems of instruction. Such linkage is likely to sustain progress. When one considers the intimate relationship between staff development activities judged meaningful by teachers and the problems of instruction in the classroom, it is interesting to note that students are not considered essential to or even desirable for the staff development process. Indeed, students are considered a nuisance and frequently are sent home from school so teachers

can get on with staff development.

8. *Incorporation*—An eighth issue involves the extent to which skills acquired by teachers through staff development can be utilized and incorporated by the local school system. Administrators must analyze desired changes in terms of the availability of competencies necessary for the program among present members of the faculty. Administrators then are faced with the need to encourage teachers to participate in programs of staff development when members of the faculty do not possess the competencies required for specific assignments.

Experience has demonstrated the reluctance of the local school system or its inability to incorporate the new skills or program expectations wrought in teachers through participation in institutes on science, mathematics, or foreign languages funded under the National Defense Education Act (NDEA). Teachers recruited from small rural schools often returned to find themselves unable to utilize the newly acquired information. Many of these teachers were lured to larger suburban districts where the programs for which they received preparation already were in existence. The innovative teachers clustered in the innovative schools; the schools they left were more barren than before. Administrators must analyze and share with teachers the pace at which it is realistic to incorporate programs that the teachers will insist upon if staff development is successful.

From the teacher's point of view, incorporation is seen somewhat differently. Teachers determine the rate at which any change can occur and, specifically, the speed and ease with which new programs can be adopted. Teacher reactions to proposed new programs are strongly influenced by their perceptions of whether their existing competencies are adequate to implement the programs. Teachers, whether new or veteran, who do not possess and cannot or will not gain the competencies to be utilized by the new program are seldom able to leave. The teachers most willing to change are most marketable for other situations. Those least willing to change will be the ones who remain. In a sense, staff development programs can educate the best staff personnel out of the system. Those who remain will divert, subvert, obstruct, or sabotage attempts to bring in new programs with which they are unaccustomed and/or to move out old programs with which they have become identified. Teachers are threatened by change and staff development programs will affect them so directly that the threat is likely to be considerable. It is imperative that the threat is not so great that the only appealing course of action for those who must remain is to stop new programs rather than adjust to them.

9. *Alternatives*—A ninth issue involves the extent to which alternatives to developing a program of staff development can be used. Administrators tend to employ individuals who already possess the competencies necessary to initiate or implement programs that already have gained acceptance.

There may be still other appropriate approaches for administrators that constitute alternatives to staff development programs. From their standpoint, administrators will judge that some programs should not be changed. Instead such programs require protection against over zealous teachers who seek to change them. Some programs should be kept, even though they are old, simply because they are successful. It may be essential to move a program from one school to another or to share it with other systems.

By the same token, some teachers are justifiably reluctant to change. Even though progress is achieved by those who pioneer a venture in the face of strenuous opposition of the establishment, the contributions also are significant by those who retain their views in the face of great pressure from reformers. Perhaps those with the courage of their convictions should be entitled to use their skills in a different and more supportive environment rather than pay the price of change to remain in the present one. Perhaps teachers should be extended the option of transfer to other situations where their competencies can be better utilized.

10. *Assessment*—A tenth issue is concerned with the extent to which accurate assessment and/or evaluation of staff development activities can be achieved. Administrators base their claims of successful change on the installation of new programs. They justify expenditures to board members and the public-at-large by assembling data on program changes that have been achieved. Often these become quantitative. The larger the

number of programs, of schools adopting them, of teachers implementing them, and of students participating in them, the greater the significance is assumed to be. A caution is appropriate in regard to the numbers game and that caution extends to the development of programs of staff development. It may become more fashionable to create a new pattern of staff development than to replicate a proven one. It may be less fashionable to assess the results of an existing program than to carry the banner for some new effort. Statistical reporting tends to encourage high numbers so that schools may embark on activities which they otherwise could choose to avoid.

Teachers judge the effectiveness of a staff development program on how successful that program was in leading them to acquire professionally relevant performance as a result of participation in staff development. It must be possible to judge relative gain in proficiency in preparation for various roles. These factors are necessarily qualitative. Perhaps the effect of a teacher is greater when he/she helps a few students make substantial progress in achievement than when he/she helps a large number of students a little. It may be of far greater singificance for a single teacher to gain the ability to help a single student learn to read at an acceptable level than to raise the reading scores of many students already reading acceptably a few points on a standardized test.

The increased emphasis on staff development in many areas is supported by the state education department, institutions of higher education, and professional organizations. Such broad based interest influences local school systems to embark upon staff development programs without careful planning. When pressed, school officials and teachers alike tend to make cosmetic reactions and to resort to practices that have proven successful in the past.

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If staff development programs are to go boldly where others have not gone before, the ten challenges listed below must be considered:

1. The concept of staff development must be accepted as a long term commitment by school officials and as a hallmark of professionalism by teachers.

2. Basic purposes must be reconciled in terms of program for the school and of instruction for teachers.

3. Common priorities must be squared between those expected by the school officials and those accepted by the teachers.

4. Strategies must foster changes in the learning environment as well as relationships among teachers.

5. Inducements must be established in which the school offers suitable rewards for teachers as they increase their skills for assignments judged appropriate by the school and the teachers.

6. Participation must be encouraged in reasonable terms by the school to promote appropriate improvement for individual teachers.

7. Progress must be sustained despite restrictions on school officials and the inertia of some teachers.

8. Incorporation of new programs in the school must be placed to coincide with the acquisition of skills by the teachers who must implement the programs.

9. Alternatives must allow schools to protect appropriate elements of the program and teachers to continue to use proved competencies.

10. Assessment must address both program innovations and teacher successes.

Unless these challenges are responded to and resolved appropriately by guidelines in planning, staff development programs may assist teachers only to become increasingly proficient at performing tasks in which they should never have been engaged in the first place.

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# I'd Like To But I Don't Think I Can

The nominal group process can improve staff development by bringing into the open factors inhibiting change.

LAWRENCE G. ERICKSON

Staff development is most effective at the level of the single school and the individual classroom (Goodlad, 1979; Corrigan and Howey, 1980). However, two decades of experience as teacher, principal, supervisor, and professor have convinced me that before we can take advantage of the school and classroom setting, we must learn to deal with the unique blend of policies, role expectations, staff relationships, and other work conditions that impede adoption of new techniques.

Even when schools identify worthwhile topics, set attainable goals, select the best activities, and follow up and evaluate results, there is no guarantee that staff development activities will improve instruction in classrooms. The problem seems to be that important personal and organizational factors remain hidden and unresolved. Staff members are reluctant to initiate changes when they believe their lack of knowledge, time, material, and parent or administrative support dims the prospect of success. Moreover, they naturally resist if they expect a change to bring them into conflict with their co-workers, students' parents, or supervisors.

### A Solution

There are ways to reduce the degree of perceived impotence associated with these restraints. When I lead staff development activities at the local school level, I expand the needs assessment to include a nominal group process (Delbecq and Van de Ven, 1971).

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### Preplanning

Prior to the needs assessment session, arrange tables in a room so that six to ten participants can work together comfortably with some degree of privacy. Writing materials needed at each table are a flip chart, different colored felt-tip pens, plenty of 3″ by 5″ cards, masking tape, and pencils. Two leaders are needed when the number of participants is more than 30.

Before the meeting prepare an appropriate stimulus question to which the participants will respond in writing. For example, if the school staff has selected the topic of improving the teaching of spelling, the stimulus question might be "What personal and organizational constraints may prevent you from improving the teaching of spelling in your school?" If no topic has been identified, a broader question could be "What areas of instruction do you want to improve in this school and what personal and organizational constraints might prevent you from making those improvements?" In either case the stimulus question is placed at the top of a response sheet, which is given to each person.

### Getting Started

After the participants are seated at the tables in heterogeneous groups, explain the purpose of the session, seek their commitment and cooperation, and emphasize that they are meeting to identify concerns rather than solve them. Also explain that conversation unrelated to identifying and prioritizing concerns is undesirable and will impede progress. Distribute the stimulus question, read it aloud, and have the participants list their responses on the papers with a few words. Providing sample responses is helpful. For instance, a personal constraint may be "lack of knowledge to teach spelling skills," while an organizational constraint may be "lack of administrative support" or "lack of materials." The rule at this point is that everyone is to respond to the question in writing while silence is maintained for 15 to 20 minutes. Tell those who finish early to reflect more deeply so that a quiet atmosphere will ensure full involvement with the task. Also, individual writing of responses avoids distractions and premature evaluation of responses.

### Step Two

For the remainder of the activities, the person acting as recorder at each table asks each participant in turn to read one item from his/her list until all items have been read aloud. The recorder writes every statement on the flip chart as either a topic or a constraint without attempting to redefine, categorize, or clarify. The recorder must prohibit discussion of any of the items during this step. As the flip chart fills with statements, pages are removed and displayed for the participants to see. The purpose of this "round robin" procedure is to share risky problem dimensions with other faculty members and prohibit informal leaders, highly verbal individuals, and status position holders from dominating this portion of the session. Having each individual offer a single idea allows secure individuals who are greater risk-takers to engage in self-disclosure. This makes it eas-

ier for less secure individuals to take their turn and suggest risky problem dimensions that would usually remain hidden in an open discussion.

After all ideas are listed on the wall charts, the recorder should take about 15 minutes to make sure the meaning of each statement is understood by the participants at the table. During this activity the recorders are to resist attempts to combine statements.

**Step Three**

A voting procedure is useful to assess the group priority rating of the topics and constraints listed on the charts. For example, participants may write on cards the numbers of the five items they believe to be of greatest priority. Collect cards and tally on the flip charts the total number of votes for each item.

At this time it is a good idea to give the participants a chance to explain why they consider some items important and others unimportant. Similar items may be combined; however, try to make sure that consensus to combine is reached quickly. A show of hands is a good way to quickly settle this concern. It is better to have similar items than to debate whether or not items are similar or dissimilar. If necessary, additional items may be added to the priority list. This part of the activity can be completed in less than 30 minutes with some careful monitoring by the leader.

In small schools with fewer than ten faculty members, the needs assessment may be complete at this time and the participants can see their final rankings. Following a break, or at another session, the staff should be ready to begin selecting goals, setting specific objectives, and planning staff development activities that fit the unique work conditions at their school.

In large schools another step is usually necessary, because more groups working at different tables usually generate more items.

**Step Four**

When this final voting procedure is necessary, the participants use the list from step three to identify the five or more priority topics and constraints by writing the numbers of these items on separate 3″ x 5″ cards. In addition, they are to order the problems from the most important to the least important. For example, if statement number two is their highest priority they could write 5 next to it and if number four is their lowest priority they could rank it 1. Collect the cards. The items with the highest totals are the high priority staff development concerns. The needs assessment data are now complete and the staff members who participated can see their final rankings and begin to set goals, objectives, and plan activities that fit their unique needs.

The entire process can be done in one or two sessions. Because teachers, specialists, administrators, and parents need to participate with equal status, the leader for the session must preserve a collegial arrangement and squelch attempts by more aggressive or higher ranking participants to monopolize the session. For this task, the leader must be able to use group process skills and program planning techniques.

**Common Constraints**

*I Don't Know How.* A constraint often revealed by the nominal group process is "I lack the specific knowledge about how and when to. . . ." To overcome this, staff development activities can include observation of demonstration teaching, role playing, micro-teaching, guided practice, or a buddy system in which two or three agree to help each other.

Only with plenty of support and immediate feedback from knowledgeable colleagues do participants help each other over the I-don't-know-how barrier. Related to this is the tendency to stop using a new technique because first attempts feel awkward and appear unsuccessful. One way to prolong the tryout period is to have the participants agree in writing to try an idea at least so many times—perhaps 20 or more. During the initial tryout it helps to have many opportunities to ask questions, share positive and negative experiences, and get immediate help and specific feedback from colleagues, consultants, and administrators.

*They Won't Let Me.* Very often parents or other staff members are perceived as constraints. One way to deal with this concern is to have teachers, principals, and parents confront each other to determine how valid the claims are. The opportunity to discuss this openly may reveal the allegations are more imagined than real. On the other hand, frank discussions often show the need for specific policies and attitudes. In any case, the tendency to think of others as barriers to change is a common phenomenon that is best handled through candid discussion. Revealing these concerns early in the staff development process may minimize conflict and free participants to pursue new techniques by diminishing fear of future reprisals.

*No Time, No Money.* Organizational constraints often revealed by the nominal group process are lack of time, materials, funds, or administrative support. Writing an instructional improvement contract may solve this problem. To develop a contract, teachers, principals, appropriate central office specialists, and the principals' superiors jointly construct time lines, budgets, and work assignments. The contract describes goals, criteria, contingencies, constraints, and responsibilities. The contract is always renegotiable and helps each person predict what support to expect in the future.

*Change is Difficult.* The goal of any staff development needs assessment is to identify the significant concerns of the staff. The nominal group process can help.

Of course, there is no guarantee that problems will automatically be identified and resolved by this process. Nevertheless I have found that disclosing and prioritizing significant topics and constraints in the early stages of staff development often reveal the unique personal and organizational features of the local culture that must be seriously considered if we expect the people who work in that culture to change their behavior. ■

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# Guidelines for Better Staff Development

Fred H. Wood and Steven R. Thompson

*Research tells us adults learn best through concrete experiences where they apply what is being learned and in informal situations where social interaction takes place.*

*Photo: Joe Di Dio, NEA.*

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The 1980s will be the decade of staff development just as the 1960s and 1970s were the decades of curriculum development. We have an abundance of curriculum and instructional plans; we now need to put them into operation in our schools. The Rand Corporation report on federally supported programs for educational change points out that if schools are to install our improved plans, and perhaps even to survive, the 1980s must be the decade of staff development. In their study, the innovative projects that made a lasting difference in schools emphasized concrete, teacher-specified, extended inservice education.[1]

However, inservice teacher training, as it is now constituted, is the slum of American education. It is disadvantaged, poverty-stricken, neglected, and has little effect.[2] Most staff development programs are irrelevant and ineffective, a waste of time and money. Disjointed workshops and courses focus on information dissemination rather than stressing the use of information or appropriate practice in the classroom. Seldom are these programs part of a comprehensive plan to achieve goals set by the school staff.

While at least 80 percent of most school district budgets is allocated to personnel, we earmark inadequate funds for inservice training and staff development activities. We would never let our equipment and buildings become obsolete and nonfunctional by

[1] Paul Berman and Milbrey Wallin McLaughlin, *Federal Programs Supporting Educational Change VIII: Implementing and Sustaining Innovations* (Santa Monica, Calif.: Rand Corporation, May 1978), pp. v-x.

[2] W. Wagstoff and McCullough, "Inservice Educators: Education's Disaster Area," in *Administrators Handbook* (Chicago: Midwest Administration Center, University of Chicago, May 1973).

failing to maintain them, but that is exactly what we do with our professional staff.

As Joyce points out, we have approximately 80,000 professors, supervisors, and consultants involved in inservice training today. This is a 1 to 25 ratio of personnel responsible for staff development to teachers. If we count principals, assistant principals, reading specialists, department chairpersons, and others who also have a role in staff growth, the number is 1 for every 8 teachers.[3] With such a large investment in inservice personnel, it's difficult to understand the extent to which educators believe inservice training, as we know it, is a disaster.

## Why the Current Problem?

There are several reasons for the current problems in staff development programs. The first is the *negative attitudes* held by educators toward inservice education. State and national studies conducted during the last five years consistently suggest that the majority of teachers, administrators, and college personnel are not satisfied with current inservice/staff development programs.[4] The most common defects reported are poor planning and organization, activities that are impersonal and unrelated to the day-to-day problems of participants, lack of participant (teacher and administrator) involvement in the planning and implementation of their inservice, inadequate needs assessment, and unclear objectives. The lack of follow-up in the classroom or job setting after training takes place is almost universal. While educators are generally negative about current practice, nearly all teachers and administrators see inservice education as crucial to improved school programs and practice.

A second problem is the *view of teachers* held consciously or unconsciously by many administrators and reflected in the way that staff development is designed. In the main, those responsible for staff development seem to be what McGregor calls Theory X administrators.[5] They view teachers, and in some cases principals, as (a) disliking inservice training and trying to avoid involvement in professional growth, (b) needing to be persuaded, rewarded, punished, controlled, and forced to get them to work toward the goals of the school and to participate in inservice education, and (c) preferring to be directed and wishing to avoid responsibility for their inservice education. This has created expectations and a self-fulfilling prophecy.

A third problem is that inservice education has had a *districtwide focus*, distant from the needs of teachers and administrators in their own schools. In fact, the need for local school staffs to plan or think together is usually not allowed to get in the way of districtwide goals and training plans when staff development time is provided. Yet, there is increasing evidence that shows the largest unit of successful change in education is the individual school, not the district.

Another weakness is that most inservice education has focused upon what James Coleman calls *information assimilation*. That is, someone presents ideas, principles, and/or skills for use back on the job (information presented); then the participants explore the full meaning of these ideas and discuss applications for the work setting; finally, the inservice ends, and the person goes back to his/her job to implement what was understood.[6] This doesn't fit what we know about adults and adult learning. In fact, the major flaw in staff development appears to be that we have ignored what is known about the adult learner and adult learning, just as we have accused teachers of ignoring the individual child and how he or she learns.

Finally, we *have not modeled* the kinds of practices in inservice training we ask teachers to use in their classrooms and principals to support in their schools. For example, most inservice has not had clear objectives, been individualized, provided options and choices in learning activities, been related to the learner interests and needs, developed responsibility, and promoted trust and concern.

These are just a few of the problems, but, based on the best data we have now, they seem to be the major ones. While these situations do not exist in all of our schools, there is substantial evidence to indicate that these problems do persist in some degree in districts where inservice education is not effective.

## The Basis for Future Inservice

Given these problems, educators need to turn their attention to redesigning staff development. For a start, educators should look at the nature of adult

[3] Bruce Joyce and others, *ISTE Report I: Issues to Four* (Syracuse, New York: National Dissemination Center, Syracuse University, 1977), p. 2.

[4] Jack L. Brimm and Daniel Tollett, "How Do Teachers Feel About Inservice Education?" *Educational Leadership* 31 (March 1974): 521-25; Barbara A. Arnsworth, "Teachers Talk About Inservice Education," *Journal of Teacher Education* 27 (Summer 1976): 107-9; Patricia Zigarmi, Loren Betz, and Darrell Jensen, "Teacher Preferences in and Perceptions of Inservice," *Educational Leadership* 34 (April 1977): 545-51; Bruce Joyce and Lucy Peck, *Inservice Teacher Education Report II: Interviews* (Syracuse, New York: National Dissemination Center, Syracuse University, 1977).

[5] Douglas McGregor, *The Human Side of Enterprise* (New York: McGraw-Hill, 1960).

[6] James S. Coleman, "Differences Between Experiential and Classroom Learning," in *Experiential Learning: Rationale, Characteristics, and Assessment*, edited by Morris Keeton (San Francisco: Jossey-Bass, 1976), pp. 49-61.

*"Experiential learning accommodates the special learning styles of adults, and it maximizes the transfer of learning from training setting to application on the job. It has the potential to change and improve the quality of instructional and administrative practice in our schools."*

learning, which has generally been ignored by those responsible for staff development even though they are the largest group of adult educators in this country. To plan and conduct effective inservice education, we need to be aware of a number of facts related to adult learning:

- Adults will commit to learning something when the goals and objectives of the inservice are considered realistic and important to the learner, that is, job related and perceived as being immediately useful.
- Adults will learn, retain, and use what they perceive is relevant to their personal and professional needs.
- Adult learners need to see the results of their efforts and have accurate feedback about progress toward their goals.
- Adult learning is ego-involved. Learning a new skill, technique, or concept may promote a positive or negative view of self. There is always fear of external judgment that we adults are less than adequate, which produces anxiety during new learning situations such as those presented in inservice training programs.
- Adults come to any learning experience (inservice) with a wide range of previous experiences, knowledge, skills, self-direction, interests, and competence. Individualization, therefore, is appropriate for adults as well as children.
- Adults want to be the origins of their own learning; that is, involved in selection of objectives, content, activities, and assessment in inservice education.
- Adults will resist learning situations which they believe are an attack on their competence, thus the resistance to imposed inservice topics and activities.
- Closely related, adults reject prescriptions by others for their learning, especially when what is prescribed is viewed as an attack on what they are presently doing. Doesn't that sound like current inservice practice? We typically use inservice training to eliminate weakness we see in our personnel.
- Adult motivation for learning and doing one's job has two levels. One is to participate and do an adequate job. The second level is to become deeply involved, going beyond the minimum or norm. The first level of motivation comes as the result of good salary, fringe benefits, and fair treatment. The second builds on the first, but comes from recognition, achievement, and increased responsibility—the result of our behavior and not more dollars.[7]
- Motivation is produced by the learner; all one can do is encourage and create conditions which will nurture what already exists in the adult.
- Adult learning is enhanced by behaviors and inservice that demonstrate respect, trust, and concern for the learner.[8]

Probably the two most significant new pieces of information on adult learning uncovered during the last decade have direct and important implications for those responsible for inservice. First, it appears that a higher proportion of adults than formerly thought may be operating at what Piaget calls the concrete operational stage rather than formal operations stage of intellectual development.[9] This suggests that direct and concrete experiences where the learner applies what is being learned are an essential ingredient for inservice education. Abstract, word-oriented talk sessions are not adequate to change behaviors.

This lends considerable support to the work of Wood and Neill[10] and Keeton,[11] recent advocates of

[7] Thomas J. Sergiovanni, "Human Resources Supervision," *Professional Supervision for Professional Teachers* (Washington, D.C.: Association for Supervision and Curriculum Development, 1975), pp. 14-27.

[8] Most of this information about the adult learner was taken from an unpublished paper by John Withall, The Pennsylvania State University, on the psychological basis for clinical staff development and an article, John Withall and Fred H. Wood, "Taking the Threat Out of Classroom Observation and Feedback," *Journal of Teacher Education* 30 (January-February 1979): 55-58.

[9] Joe W. McKinnan, "The College Student and Formal Operations," in *Research, Teaching, and Learning with the Piaget Model*, ed. Rinner and others. (Norman, Okla.: University of Oklahoma Press, 1976), pp. 110-29; and Edith Neimark, "Intellectual Development During Adolescence."

[10] Fred H. Wood and John T. Neill, "Experiential Learning: An Alternative Approach to Staff Development," *Texas Tech Journal of Education* 5 (Spring 1978): 113-22.

[11] Morris T. Keeton and associates, *Experiential Learning: Rationale, Characteristics, and Assessment* (San Francisco: Jossey-Bass, 1976).

experiential learning, which originated with John Dewey. Experiential learning—learning by doing—includes: (a) an initial limited orientation followed by participation activities in a real setting to experience and implement what is to be learned—the skill, concept, strategy; (b) an examination and analysis of the experience in which learners identify the effects of their actions; (c) an opportunity to generalize and summarize when the learners develop their own principles and identify applications of those principles; and (d) an opportunity to return to try out their principles in the work setting and develop confidence in using what is learned.

The second key finding comes from research by the Rapports[12] in England and Allen Tough[13] in Canada. Their work suggests that adults prefer to learn in informal learning situations where social interaction can take place among the learners. This implies the need to plan inservice that occurs in the normal work setting.

## Proposed Guidelines for Effective Staff Development

In summary, what educators say about staff development and what we know about adult learners suggest that inservice educators should:

1. Include more participant control over the "what" and "how" of learning;
2. Focus on job related tasks that the participants consider real and important;
3. Provide choices and alternatives that accommodate the differences among participants;
4. Include opportunities for participants in inservice training to practice what they are to learn in simulated and real work settings as part of their training;
5. Encourage the learners to work in small groups and to learn from each other; and
6. Reduce the use and threat of external judgments from one's superior by allowing peer-participants to give each other feedback concerning performance and areas of needed improvement.

James Coleman points out several advantages of experientially-based training. First, the understandings developed are tied not to abstract ideas but rather to concrete experiences that can be drawn upon when the teacher or administrator faces similar situations on the job. Another strength of this approach to inservice education is that the principles and skills developed through experiential learning are remembered more easily because they are tied to a sequence of personal actions and consequences. Finally, and probably most important to those responsible for staff development, learning by doing is more likely to be applied in the job setting.[14]

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## A Model Program

There are a number of successful programs that can serve as models for planning experiential inservice programs. One is used by the Professional Development and Program Improvement Center of the Long Beach Unified School District in California.

The Long Beach Center was organized in 1969 as part of a statewide network of professional development centers in California. These centers were intended to strengthen instructional techniques in reading and mathematics. In the Long Beach center, this has been accomplished through a staff development program with four major components: (a) teaching reading and/or mathematics objectives; (b) diagnostic and prescriptive instructional skills; (c) clinical supervision; and (4) follow-up, maintenance, and refinement. Training in each component closely follows the steps of experiential learning.

Participants begin by receiving an overview of the entire training sequence in all components. The first skill in component one is then introduced and modeled by the workshop facilitators. After a short

[12] R. Rapport and R. N. Rapport, *Leisure and the Family Life Cycle* (London: Routledge and Kegan Paul, 1975).

[13] Allen Tough has four books that were published by the Ontario Institute for Studies in Education in Toronto related to informal learning, *Learning Without a Teacher*, 1967; *Why Adults Learn*, 1968; *A Study of the Major Reasons for Beginning and Continuing a Learning Project*, 1968; *The Adults' Learning Projects*, 1971.

[14] *Ibid*, pp. 114-15.

time for preparation, the participants practice the skill with small groups of five to ten students in local school classrooms. Each participant is observed by one or more of the other participants while teaching the practice lesson. After the practice sessions, each instructor and observer group meet to analyze the lesson. This cycle of overview, model, practice, and analysis is repeated for all of the skills in each training component. The entire inservice training process lasts three to six weeks.

During the workshop, participants are released from classroom responsibilities by a team of master substitutes who have already been trained in the skills considered in the workshop. Participants work in small groups to promote learning from each other. The team members provide one another with feedback about their performance as they attempt to practice the behaviors set in the objectives and criteria of this experience-based inservice program. Participants also have access to demonstration classrooms where the skills being learned can be observed and to print and audiovisual materials to supplement their training and provide alternative learning experiences. The entire workshop is conducted within a local school.

After training nearly 1,000 people in eight years, there is evidence that confirms the effectiveness of the Long Beach approach to staff development.[15] Other centers in the California network with similar programs report comparable success. Two of the most convincing facts supporting the successes of the experiential approaches at Long Beach are their longevity and ability to demonstrate impact on student achievement. After eight years of activity, this experiential training program continues to enjoy state support and to be replicated increasingly by other school systems.

There is little doubt that effective staff development in schools is a critical need; many of our past practices have been ineffective. One promising alternative for improving inservice education is experiential learning as it is practiced in the Long Beach schools. Evaluation of this and other experiential or clinical staff development programs supports the effectiveness of experienced-based inservice training.[16] Experiential learning accommodates the special learning styles of adults, and it maximizes the transfer of learning from training setting to application on the job. It has the potential to change and improve the quality of instructional and administrative practice in our schools.

[15] Ernest Stachowski, "Eight-Year Summary Report 1969-1977," Unpublished Report, Long Beach Professional Development and Program Improvement Center, Long Beach, California, 1978.

[16] Fred H. Wood and John T. Neill, *ibid.*, pp. 120-22.

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# Research Information Service

# SYNTHESIS OF RESEARCH ON STAFF DEVELOPMENT

Educators looking for a good staff development program are forced to choose among literally thousands of very different programs. The programs range from traditional university courses to school-based workshops to overall school improvement programs. Some programs are condensed into a day or a week of intense activity, and others are ongoing, with activities sprinkled throughout the year. Trainers in some schools are local personnel; other schools bring in outside consultants.

Some staff development programs use lectures, and others use demonstrations and simulated trials. Some orient everyone toward the same general objectives; others have individualized goals. Programs may be planned by teachers or by administrators or by a combination of both.

Which programs are best? What is the best way to help teachers develop the new skills, knowledge, and attitudes they need and want? How can administrators help teachers in their professional growth?

Unfortunately, going to the literature on staff development is not much help. A majority of publications are evaluation reports rather than real research. In many of them, administrators or teachers write up a program used in their school. It is almost always a successful program since no one likes to publish failures. Measurement techniques are often subjective opinions or tests made up by the participants. Results sections report fuzzy findings like "teachers felt the program helped them improve their classroom questioning techniques" or "administrators are proud of the noticeable improvement in teacher attitudes." Control groups are rarely used because no one wants to be left out of the exciting new program.

Smart administrators and teachers look at these reports with more than a little skepticism. Are they really so successful? Is a program that was successful in another school certain to be successful in their own school? What are the ingredients of a successful staff development program?

*This article was originally prepared as a* Research Action Brief *by the ERIC Clearinghouse on Educational Management in cooperation with the National Association of Secondary School Principals. Jo Ann Mazzarella was the staff researcher and writer for ERIC.*

## ERIC Clearinghouse on Educational Management

### Effective Techniques

Fortunately, hidden among the many dubious reports on staff development programs are a few useful studies. One of these, a four-year, two-phase study by the Rand Corporation culminating in 1975, provided some insights into the characteristics of effective staff development. Not initially focused on staff development, the study looked at approximately 300 educational innovations to determine why some innovative projects succeed and others fail. The researchers found that certain staff development strategies had great impact on the success of these innovations.

According to Berman and McLaughlin (1978), researchers surveyed 852 administrators and 689 teachers and conducted field studies that allowed them to observe projects in operation. Two years after the initial research, they resurveyed 100 projects and revisited 18 to determine which reforms had long-lasting effects.

The researchers discovered that several aspects of teacher staff development activities had "major, positive effects" on project outcomes and continuation. One was training that was "concrete, ongoing, and teacher specific." "Hands-on" training that allowed teachers to try out new techniques and ask for the kind of assistance they needed when they needed it was most likely to lead to successful programs. The best training addressed the specific needs of each individual teacher.

In contrast, one-shot pre-implementation training was usually not helpful to project staff. Because training and assistance needs of teachers changed over time, even if training was relevant it was not meaningful when presented before the program had really begun.

Because of the need for ongoing assistance, local resource personnel who could provide "on-call" advice were more effective than outside consultants whose advice was seen as too "general, untimely, and irrelevant."

Observation of projects in other classrooms or districts was also found to be a useful component of staff development because teachers could receive advice and encouragement from peers who had had a successful experience.

A rather surprising finding was that giving extra pay for training had either insignificant or negative effects. Apparently, teachers participate in training programs because they believe they will help them to become better teachers and not because of extrinsic rewards.

Another conclusion of the researchers was that principal participation in the training was vital. It appeared that principals needed to gain knowledge that would enable

them to help teachers with program objectives and to show teachers that their efforts were supported.

In another report on the Rand study, McLaughlin and Marsh (1978) highlighted an additional conclusion. These authors noted that "staff support" activities were extremely important in enabling teachers to carry on successful programs. "Skill-specific" training was not enough. One component of staff support activities was regular project meetings where teachers could discuss and work on problems. Although these meetings became counterproductive if they degenerated into mere recordkeeping or concentrated on details of project administration, they were found to be extremely helpful if teachers could use them to work together to solve immediate problems.

Other staff support activities were teacher participation in project decisions and the classroom assistance by resource personnel discussed by Berman and McLaughlin. These activities appeared to be necessary to affect teachers' attitudes and inspire commitment to the program. McLaughlin and Marsh found that without such support activities the effects of training faded and no long-lasting changes in teachers occurred.

**Effective Program Management**

Another approach to determining what makes teacher inservice effective was taken by Lawrence (1974). He looked at 97 studies or evaluation reports of inservice education and generalized about successful programs. Although no single one of these reports is enough basis for choosing a program, the programs are more enlightening when looked at as a group. When the 97 programs are compared, characteristics of effective programs can be separated from those of less effective programs, and aspects that are repeatedly a part of effective programs can be spotted easily.

Some of the most interesting of Lawrence's findings are clustered around the management of inservice education. Several of his findings are strikingly similar to those of the Rand study. Lawrence found that education programs that have individualized activities are more likely to accomplish their objectives than are programs that have common activities for all participants. This is similar to Berman and McLaughlin's findings that the most successful strategies are "teacher specific."

Another finding to echo the Rand study was the finding that programs that emphasize demonstrations, trials, and feedback are more effective than those in which teachers merely absorb ideas for a future time. This sounds a lot like Berman and McLaughlin's conclusions about "concrete ongoing," "hands-on" programs.

Lawrence also noted that school-based programs conducted by local supervisors or administrators appear more effective than those run by outside personnel. Again, one is reminded of Berman and McLaughlin, this time of their findings about the superiority of local resource personnel to consultants.

Lawrence found that teacher behavior was affected by both school-based and college-based programs, but that the school-based programs influenced more complex kinds of behaviors such as attitudes. Apparently programs at the school site are capable of doing more than conveying information; they are capable of changing beliefs as well. This finding is especially interesting when coupled with McLaughlin and Marsh's finding that just offering new skills is not enough to accomplish successful educational innovations in schools. They found that complex changes involving attitudes and motivation were very necessary if real changes were to be made in the instructional program.

Finally, Lawrence discovered that programs in which teachers participate as helpers and planners have greater success in accomplishing their objectives than do programs conducted by college or other outside personnel without teacher assistance.

**Preferred Programs**

When selecting an inservice program it is also helpful to know the characteristics of programs preferred by teachers and administrators. Joyce and his colleagues (1976) did some preliminary investigating into teacher and administrator preferences for inservice teacher education (ISTE). The researchers conducted loosely structured interviews with 1,016 educators, including teachers, administrators, and college faculty. Although the interviewees were not a random sample and the authors stress that interviews were exploratory and intended to be merely preliminary to a later survey, they are confident that the findings "identify fairly exhaustively the perceived issues, problems, and opportunities for constructive change in ISTE."

Joyce and his associates uncovered a number of concerns and opinions regarding inservice education, some of which confirm the studies discussed earlier. The researchers discovered among all types of respondents a desire for teachers to have more responsibility for the content of inservice programs. Few respondents wanted administrators or college teachers (those traditionally responsible for program content) to have *sole* responsibility for determining programs.

The researchers also found that all categories of interviewees were concerned about the need to relate training to local and on-the-job needs and for teachers to receive training when they need and want it. This "timeliness" need was especially crucial.

There was less agreement on who should be responsible for the organization of inservice programs. In fact, each group questioned (teachers, administrators, college faculty) favored themselves as the responsible agents.

A final finding presents a contrast to findings of the Lawrence study. When asked about preferences for trainers, only 2 percent of the respondents preferred local education agency personnel (including administrators and curriculum supervisors) as trainers, while 15 percent chose consultants, and 20 percent chose college faculty. This contrasts with Lawrence's findings about the desirability of using local administrators rather than outside consultants. Why the trainers who would be the most useful for teachers are those the least desired by the educators interviewed is something of a puzzle.

Joyce and his colleagues hypothesized that teachers did not want to have their evaluators as their trainers. Perhaps before teachers will feel comfortable with local administrative personnel as trainers, the functions of evaluation and training will have to be more clearly separated.

In another, smaller survey, Johnston and Yeakey (1977) questioned 313 teachers and 23 administrators from 17 New Jersey elementary schools. The hypothesis they tested was that administrators differ sig-

nificantly from teachers in preferred content, methods, and planning strategies of teacher staff development programs.

When preferences for content were compared, Johnston and Yeakey found that there was indeed significant disagreement. For instance, urban administrators ranked community relations as a topic they would most prefer for teacher staff development programs, whereas teachers ranked it as a least preferred topic. Similar differences were found on other topics. Johnston and Yeakey believed that administrators were interested in those topics most closely associated with their role and that teachers were interested in those relevant to their own role.

The researchers also found that administrators and teachers are not in agreement as to who should plan and conduct staff development workshops. Administrators prefer that they themselves plan the workshops, but teachers prefer teacher and committee planning.

Johnston and Yeakey concluded that the most effective staff development workshops would be those planned jointly by teachers and administrators. They believe teachers need a chance to define their own problems and needs. They put it, "If this is done, administrators will find that teachers are more supportive of staff development programs, and in turn the programs are more effective."

**Implications**

These findings suggest a number of guidelines for choosing staff development programs. First, the persons responsible for programs would do well to choose those that are concrete and aimed at specific skills rather than theoretical. These programs should emphasize demonstrations and opportunities for staff to practice the new skills and receive feedback. Lectures alone promise to be less effective.

Both the Lawrence and Rand studies indicate that programs should be individualized to address the requirements of each participant and relate to on-the-job needs. Programs that offer the same results to everyone will be less effective.

The best programs appear to be ongoing—stretching throughout the school year—rather than a short workshop or course that is soon forgotten. Programs are more successful at changing attitudes if they occur at school rather than elsewhere. Observation of other teachers who have mastered and are practicing the skills being taught appears to be useful.

Paying teachers to participate in programs appears to be less useful than providing programs that appeal to teachers' motivation to improve their abilities and become better teachers.

Findings of the Rand study indicate that principals ought to be a part of staff development programs and show their knowledge and support of the program. Yet all three of the other studies emphasize that administrators should not have *full* responsibility for planning programs. Teachers want and need to help choose program content and to participate as helpers and planners. Administrators who take full charge without help from the staff will find their programs sadly lacking in support. Administrators who ignore the program will suffer the same fate.

Furthermore, as the Rand and Lawrence studies both indicate, teachers want ongoing participation in project decisions, and programs that provide such participation are more successful. Regular project meetings are important, not, as McLaughlin and Marsh emphasize, for administrative details but for discussion of real immediate problems and proposed solutions.

These findings are all clearer and less ambiguous than the findings concerning who should be the trainers in staff development activities. Both the Rand and Lawrence studies indicate that local resource personnel make better trainers than do outside consultants. Yet Joyce and his research team found that almost no one wanted local administrative personnel for trainers. Perhaps school staff members rather than administrators should be recruited for use as trainers. Perhaps changes in evaluation procedures can be made to make teachers feel less threatened by the idea of their supervisors being used as trainers.

The same themes appear again and again in these four studies: a need for more teacher participation in choosing and running staff development

## HIGHLIGHTS FROM RESEARCH ON STAFF DEVELOPMENT

**Effective staff development programs:**

- **are concrete and aimed at specific skills**
- **emphasize demonstrations and opportunities for staff to practice the new skills and receive feedback**
- **are individualized to address the requirements of each participant and to relate to on-the-job needs**
- **are ongoing—stretching throughout the school year**
- **are held at school rather then elsewhere**
- **include opportunities to observe other teachers who have mastered and are practicing the skills being taught.**

**Principals should participate in staff development programs and show their knowledge and support but teachers should help choose program content and act as helpers and planners.**

**Local resource personnel make better trainers than do outside consultants, but many teachers would rather not be trained by local administrators. That may mean that staff members other than administrators should be the trainers and that the functions of evaluation and training have to be separated.**

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**ERIC Clearinghouse on Educational Management. "Research Synthesis on Staff Development." *Educational Leadership* 38 (November 1980).**

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programs; a call for less theory and intellectualizing and more practice and participation in program activities; and a need for training that addresses everyday on-the-job needs and that is individualized to meet the needs of each participant. These are the lessons of research on staff development. ■

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## Topic I

# The Supervisor as a Researcher and Member of the Profession

SUPERVISORS ARE RESEARCHERS AND CONSUMERS OF RESEARCH. One of their responsibilities is to conduct research to determine the effectiveness of the programs for which they have responsibilities. Even more frequently, they interpret research findings and translate conclusions into specific recommendations for improvements in school practices at the local level. As consumers of research, they are aware of the work of various regional educational laboratories, research and development centers, and other sources of research data. They avail themselves of the services of the Educational Resources Information Center (ERIC) and other data retrieval systems. Supervisors also encourage teachers and other staff members to engage in experimentation in search of more effective procedures for classroom instruction and school management. These activities are often described as action research.

As professionals, supervisors participate with scholars in research designed to expand knowledge in the field of supervision. A number of articles in this volume are reports of cooperative research by scholars and practitioners.

Supervisors are active in the Association for Supervision and Curriculum Development (ASCD) and in other professional organizations. Through professional organizations, supervisors can work with other educators to resolve common problems and to improve professional practices. Their involvement in professional organizations also provides opportunities for self-improvement through publications, conferences, and study institutes. As members of the profession, scholars and practitioners learn from each other and grow through their interactions.

Oliver encourages action research and describes the Interactive Model developed at the Far West Laboratory. He concludes that "its major benefit is to promote a continuing process of professional development, a climate in which teachers and other personnel not only pose questions, but test their own solutions as well."

Two articles, one by Mangieri and McWilliams and the other by Killian, Wood, and Bell, focus on professional improvement for supervisors. Mangieri and McWilliams propose a Collaborative Instructional Improvement Process designed to enhance working relationships between the supervisor and the principal or some other staff member. "It is a communication-facilitating process that enables the supervisor and a colleague to sit down together, identify problems, delineate action strategies and responsibilities, specify time constraints, and establish an evaluation design." The description of a specific application of the process is a strength of the article. As the authors state, the Collaborative Instructional Improvement Process is a practitioner's tool that has been used and found to be helpful. Supervisors will readily recognize its contribution.

Killian, Wood, and Bell look at the growing trend of legally required continuing education for educators and at the consequences such laws have had for other professions. They indicate that the conflict over who should control continuing education—teachers or colleges of education—is one of the problems

related to mandated continuing education. They point out that self-control directed by the profession alone would bring with it many problems. They urge teachers and administrators to "admit that they cannot survive professionally without continuing education" and to "realize that they neither can nor should have complete control of their own continuing education." The authors insist that all educators must (1) "stop quibbling about the size of their piece of the inservice pie," (2) "take an active part in protesting that which is misguided and in suggesting alternatives for positive growth," and (3) "assume responsibility for upgrading their profession from within instead of just defending it against outside criticism." Killian, Wood, and Bell have raised a professional issue worthy of the best thinking of supervisors.

Davis records the birth of ASCD in 1943 and gives a history of the infant organization during the years 1943-1945. Of particular interest and value is his tracing of the roots of the organization through its predecessor organizations—the Department of Supervisors and Directors of Instruction and the Society for Curriculum Study. Readers will recognize many familiar names among past leaders of the professional organizations.

As readers turn to the articles, the following questions may evoke thought and action. How does the Interactive Model presented by Oliver differ from Corey's 1954 model of action research? As a supervisor, how would you go about implementing the Interactive Model in your school district? What are the strengths of the Collaborative Instructional Improvement Process proposed by Mangieri and McWilliams? What might be some of the difficulties of implementation? What are the implications of the Killian, Wood, and Bell article for action by educators generally and for supervisors specifically? What changes in function and purpose have occurred in ASCD since its formation in 1943? What forces have shaped those changes?

**Educational Leadership** 37 (Feb. 1980): 394–395


# Action Research for Inservice Training

**Bernard Oliver**

*Photo: Joe Di Dio, NEA.*

*Action research, with its emphasis on applied scientific inquiry, helps teachers develop the skills to analyze what's happening in their classrooms.*

A glaring weakness of many inservice training programs is that they neglect the inquiry skills necessary for teachers to analyze profitably the "ecology" of their schools and classrooms. Being able to determine the reasons for what they do and the effects of their actions on classroom processes helps teachers make better use of research findings on teaching effectiveness.

A useful inservice framework that helps develop these skills is the action research model. Similar in some ways to the technical assistance model described in this issue by Trohanis and Jackson (see p. 386), action research includes one other step that makes it unique. In this model, research also takes place in the classroom. The basic premise is that formal research, tempered by practical, onsite experience is the key to improving educational performance.

## Using Methods of Science

Formal research and scientific methods of inquiry are sometimes viewed as pursuits best left outside the day-to-day world of teaching. Action research assumes, on the contrary, that scientific inquiry is a valid and valuable tool that teachers, administrators, and support personnel can use to translate educational goals into specific methods for achieving them. As described by Stephen Corey (1954):

> Action research in education is research undertaken by practitioners [in local school situations] in order that

they may improve their school practices. The people who actually teach children . . . attempt to solve their practical problems by using methods of science. They accumulate evidence to define their problems more sharply. They draw upon all of the experience available to them as a source for action hypotheses that give promise to ameliorate or eliminate the practical difficulties of their day to day work.

An important motivational factor of this approach is that teachers share in the responsibility for their professional improvement. As part of an ongoing teaching and learning process, they gain new insights into how children learn and how subjects should be taught. The model also calls for goals that are behavioral rather than academic. It represents, in fact, a new view of the classroom as being, when necessary, a laboratory for solving educational problems.

### The Action Research Model

Action research relies on the collaborative efforts of teachers, supervisors, and researchers to improve learning environments. The latest variation on this concept to emerge is the Interactive Model developed at the Far West Laboratory (Tikunoff and Ward, 1979). Its guidelines are:

- *Stage one:* The supervisor helps teachers and other school personnel identify, clarify, and categorize problems in the class and school environment. This may involve the aid of a consultant, if necessary.
- *Stage two:* The supervisor assembles pertinent readings and project materials for use by school personnel involved in the problem. Here again, a consultant may prove necessary.
- *Stage three:* The teacher studies the material for solutions that may apply to the problem at hand. With the assistance of the supervisor and consultant, the teacher then forms a plan of action. Whether and how to modify the teacher's plan, or to develop alternative solutions, should be a cooperative decision.
- *Stage four:* This is the point at which onsite research occurs. The teacher's plan is evaluated for its classroom effectiveness based on data from observation, teacher reports, testing, or a combination of these. The supervisor and consultant should assist the teacher to assure that proper and effective verification techniques are employed.
- *Stage five:* In conjunction with the plan's implementation, the supervisor should provide ongoing review and support. Specific points of success and failure should be collaboratively noted and analyzed.
- *Stage six:* The final stage of the cycle is overall evaluation of the plan's success and a review of alternatives to bolster areas still deemed weak. In effect this may become the first stage of a new cycle leading to further refinements in solving the problem.

In my view collaborative research along the lines of this model can be invaluable in sensibly and rationally applying new approaches to specific classroom problems. Its major benefit is to promote a continuing process of professional development, a climate in which teachers and other personnel not only pose the questions, but test their own solutions as well.

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# THE WHAT, HOW, AND WHEN OF PROFESSIONAL IMPROVEMENT

**Supervisors critical of one another can use a systematic process to enhance their working relationship.**

*"In my job, I associate constantly with uncooperative faculty members and indifferent principals."*

Sound familiar? This statement, made by a district science supervisor, represents the frustration of supervisors from every educational level.

Since the roles supervisors and principals play are so critically important, we might expect them to possess a natural allegiance to each other. Unfortunately, in many instances they are adversaries. One principal, commenting on the district reading specialist assigned to his school, said, "I don't know what she really does. When she's in my school, nothing happens."

Regardless of the specific complaints a supervisor and a principal, teacher, or a fellow supervisor may have about each other, the heart of the problem is invariably a breakdown in communication. Each may assume the other is carrying out certain responsibilities and initiating certain actions. When they finally get together, they find their assumptions were quite wrong.

This negative relationship, of course, is not universal or irreversible. When supervisors and professional personnel do make efforts to enhance their relationship, improved instruction usually is the end result.

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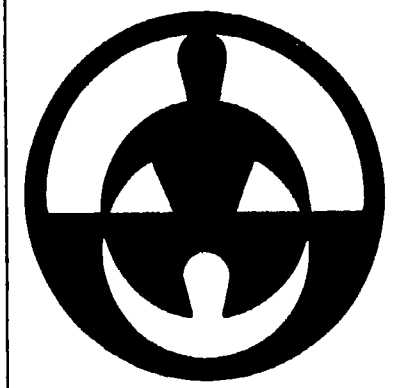

JOHN N. MANGIERI AND DAVID R. MCWILLIAMS

For the past three years, we have been involved in developing and using a process that removes much of the guesswork from the supervisor/professional relationship. We call it the Collaborative Instructional Improvement Process. It is a communication-facilitating process that enables the supervisor and a colleague to sit down together, identify problems, delineate action strategies and responsibilities, specify time constraints, and establish an evaluation design.

Five basic steps constitute the process:

1. The supervisor and the other professional should *individually* list behaviors, factors, variables, and so on, that they feel are creating the immediate problem.

2. They should list and compare their individually perceived needs and then *together* identify the major needs they have determined by consensus. This list represents *what* is to be accomplished.

3. When the consensus list is completed, they should then develop an action strategy and list of responsibilities to meet the demands of the problem. These strategies and responsibilities need to be carefully delineated so that each party will know *how* the other will perform the collaboratively established tasks.

4. Next, for each *how* strategy or responsibility listed, the two parties should establish a corresponding timeline. Actual dates should be stated to determine *when* activities will occur or be completed.

5. Finally, they should schedule regular meetings throughout the problem-resolution sequence. Progress should be assessed in terms of the

previously delineated *how* and *when* items, which can be altered as the goal warrants.

Changes in the consensus list (*what*) are not recommended during these progress check sessions. Discerning the consensus needs is critical to the entire sequence; the individuals involved should have taken adequate evaluative measures to affirm the accuracy of the *what* phase of the sequence. If, during the process, both parties agree that the identified consensus needs are in error or need to be rectified, the original sequence should be discarded and a new one initiated.

## An Application

Let's consider an actual application of the process, as used by an assistant superintendent for instruction and a reading supervisor. The general problem area was to determine how the supervisor's time and expertise could be used most effectively in designated schools.

**Figure 1. Reading Supervisor's How and When**

| Strategies and Responsibilities | Timeline |
|---|---|
| Visit every designated school and discuss role with all teachers. | by October 1st |
| Visit with the principal of every designated school, outline supervisor's role, and seek support in performing duties. | by September 15th |
| Publish and distribute a monthly reading idea sheet for personnel in designated buildings. | Ongoing; by last school day of each month |
| Chair reading committee to encourage inter- and intra-school activities in the designated schools. | Ongoing; monthly |
| Review status in buildings with principal at least twice per semester. | October, December, February, and April |
| Work with assistant superintendent for instruction to develop general visitation schedule. | Prior to September 1st |

**Figure 2. Assistant Superintendent's How and When**

| Strategies and Responsibilities | Timeline |
|---|---|
| Meet with principals of designated schools to review job description and role of reading supervisor. | August principals' meeting |
| Utilize reading supervisor for testing and/or consultation with teachers from designated schools who request or need technical assistance. | Ongoing |
| Arrange for reading supervisor to have a leadership role in districtwide staff development endeavors. | As per date |
| Assess the effectiveness with which the time and expertise of reading supervisor is being used by principals and teachers. | November, January, March, and May |
| Meet with reading supervisor every two weeks. | First and third Thursday of each month |

In step one, the assistant superintendent and the supervisor each identified the reasons creating the general problem. The assistant superintendent cited the following: (1) teachers were unsure of the precise nature of the supervisor's role particularly due to district and federal policies about developmental reading and Title I reading; (2) the supervisor needed to use the time better; and (3) most of the principals the supervisor served had limited awareness and knowledge of reading; as a result, some principals didn't know precise services to request of the supervisor. The reading supervisor's perceived problems were: (1) too many buildings located over too large a geographical area, (2) lack of significant referrals from principals, (3) lack of time for follow-up work with teachers, and (4) teachers' reluctance to ask for help.

After the supervisor and the assistant superintendent compared and discussed these factors, they collaboratively agreed on the *what* of the process. The consensus needs they identified were: (1) to increase the visibility of the reading supervisor in the designated schools; (2) to clarify the role of the reading supervisor as it relates to developmental and Title I reading efforts; (3) to establish an effective scheduling sequence for the reading supervisor; and (4) to create a follow-up process to reinforce the efforts of the reading supervisor and facilitate effective feedback.

Figure 1 shows steps three and four, the *how* and *when*, as they relate to the reading supervisor's involvement in the process.

Figure 2 conveys the *how* and the *when* of the assistant superintendent in relation to the consensus needs.

The two parties agreed to meet on the first and third Thursday of each month in order to discuss problems and issues pertinent to the reading supervisor's duties. A significant portion of each meeting was to be devoted to the process' final step, the progress check.

**Implications**

The Collaborative Instructional Improvement Process is effective because it can serve so many crucial purposes. First, it can be the vehicle for meaningful dialogue between two professionals, helping each individual develop a better understanding of the other's position, educational beliefs, and expectations.

Second, the process is excellent for facilitating initial planning. Using the process, two professionals can lay out a cooperative action plan for a particular problem. This mutual effort will establish what is to be accomplished, the responsibilities of both individuals, and the manner in which they will judge their effectiveness.

Third, as it is implemented, the process can be the focal point of discussions between the two participants. In these meetings, as contrasted with the meaningless exchanges that frequently take place, substantive educational issues are discussed and action strategies identified and agreed upon. Both people know the terms of the process, and their discussions can focus on their progress in implementing it. Past activities are described, future ones are planned, and problems and successes are shared.

Fourth, in these days of accountability, evaluation is always a significant issue. The very nature of the process makes evaluation a relatively simple matter. Both professionals know the priorities, and as the *when* portion is being implemented, they can determine the degree of progress. After this evaluation is completed, the professionals can analyze what has occurred, what "needs" remain, and determine the emphasis of future planning sessions.

Finally, the process can serve as a "documentor" of accomplishments. Using such a written record, the professional can quickly and comprehensively show not only his or her activities but also the positive changes in which he or she has played a part.

**Conclusion**

The Collaborative Instructional Improvement Process is a practitioner's tool. It has been effectively used in school districts of varying size, affluence, and location by individuals with different levels of educational training and professional experience. Their areas of expertise have spanned the total range of educational disciplines, and their positions of authority and power have represented an equally broad spectrum.

Despite the differences among the users of the process, it has proven successful in virtually every instance. The process will work if two persons strive to make it work. ■

"For teachers (as for any client) to seek or accept help is to admit they have insufficient power to help themselves."

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**Faced with possible mandatory continuing education laws, educators can learn from the mistakes and successes of other professions.**

# LAST CALL FOR PROFESSIONAL SELF-IMPROVEMENT

JOYCE KILLIAN, FRED H. WOOD, AND PAUL E. BELL

Because of the high costs of professional services and the public's concern about professional quality,[1] many states are enacting mandatory continuing education laws for professionals whose work involves the public welfare. Almost half of the states have passed such legislation for doctors and over a third have enacted increased requirements for nurses. Accountants, lawyers, and even engineers and architects, who traditionally have not been affected by public welfare legislation, are finding themselves subject to regulation. Few states, however, can match the zeal of Iowa, which recently drafted relicensing requirements for all of its 23 professional licensing boards.

The implication for education is that increased certification requirements will be mandated for teachers and administrators. In states with permanent certificates, future legislation will probably require teachers to show evidence of professional growth; the lifetime certificate may well become a remnant of the past.

Education also parallels other professions in its internal conflict about the need for continuing education. Members of some professions claim their professional organizations have acted against their interests in supporting legislation for mandatory continuing education. The American Nurses' Association, for instance, has come out against mandatory continuing education on the national level, while its member state units are variously for and against the requirements. The national associations of optometrists and pharmacists, which encouraged mandatory education in every state, have lost membership for their efforts.[2]

Professional associations are torn when it comes to a stand on increased education, facing a loss of professional membership on the one hand and a loss of professional credibility on the other. Confronted with such a dilemma many, like the NEA, consistently oppose more stringent educational requirements for practicing members. While such a position may be popular with a large segment of the membership, it antagonizes others who don't wish to be aligned against what they see as upgrading the profession.

Often the accord within a profession hinges on how much influence the members have on determining the amount and relevance of their own professional education.

The legal profession, for instance, actively provides opportunities for sharpening professional skills and keeping members abreast of current issues, and has traditionally had a great deal of autonomy in its own continuing education. Comparing various professions, Leroy W. Nattress says legal education is unique since almost all continuing education programs are carried on outside the law schools through institutes sponsored by the lawyers' own professional organizations.[3]

This autonomy has led to some problems. Nattress notes that many programs repeat law school courses and are judged successful because they are popular, not because they're effective. This practice of free choice may be altered by specific requirements mandated by state boards; state agencies may also take up the responsibility for overseeing uniformity and quality. For the present, however, no sharply drawn lines exist between those who offer continuing education programs and those who receive them.

The issue of control is far more divisive in education. The battle lines are drawn most clearly between teachers and those charged with educational administration and improving instruction. Colleges of education, which have traditionally exerted control over teacher inservice education, are losing their dominant position in the struggle. As one teacher educator put it, "The comprehensive college of education could end up with precious

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little else to share in the way of control or responsibility except preservice teacher education programs."[4]

Which education groups are picking up this shifting control? Much to their frustration, teachers themselves have had little say in their own training, but efforts by their professional organizations may give them a greater voice. According to the NEA, effective inservice teacher training and development must be controlled by teachers. NEA past president John Ryor believes teacher centers are part of a trend toward this self-determination:

> The federally supported Teacher Center Program . . . did not come about accidentally. Its roots lie in the dissatisfaction of teachers with inservice programs that they—whose needs such programs are supposed to meet—have had little or no involvement in planning . . . the Teacher Center Program provides teachers a high degree of control over aspects of their own professional development.[5]

Not all administrators and board members are enthusiastic about teacher autonomy. A survey of public school district superintendents revealed that 57 percent foresaw problems with teacher centers because of their mandated control by classroom teachers.[6] Similar sentiments were expressed by respondents to an *American School Board Journal* poll, which asked, "How do you think teacher and administrator professional development should be handled in your school system?" Sixty-one percent responded that inservice training for both levels should be more closely controlled by school boards and superintendents.[7]

In some cases teachers and administrators have joined together in planning inservice. Cooperative efforts improve the relations between these two groups and provide task-centered programs that help teachers improve skills and deal with specific classroom problems. Some college educators argue that such nuts-and-bolts programs may provide for immediate needs but they should not wholly substitute for substantive courses that provide a common foundation for teaching as a profession. Nevertheless, state boards in Florida, Maryland, Pennsylvania, and West Virginia have begun to recognize inservice credits for at least partial fulfillment of advanced certification requirements.

At the state level teachers are making progress toward the professional autonomy long enjoyed by other fields. While the state regulatory boards for doctors, lawyers, nurses, and others have traditionally included members of those professions, state boards of education are largely consumer boards composed of noneducators. The resulting teacher dissatisfaction has led to attempts by state teacher organizations to have their own practitioners regulate the profession. These efforts have succeeded in at least two states, Michigan and Oregon. In several others a Professional Standards and Practices Commission composed of teachers, administrators, and teacher educators has gained the power to make recommendations about certification and professional standards to the State Board of Education.

### Self-Policing and Accountability

While political gains may help put education on a more equal footing with other professions, self-regulation may be a mixed blessing. Self-control would make educators heir to the same problems currently plaguing professions that have long been autonomous. Medical practitioners, lawyers, accountants, and engineers are accused of failing to shoulder the moral obligations of their professions. No longer satisfied by assurances that improvements from within are forthcoming, the public is saying, "Since you won't put your own house in order, we'll do it for you."

Associations that have traditionally discouraged their members from providing evidence against others within the profession have taken a new look at their role in self-policing. Chief Justice Warren Burger warned members of the American Bar Association that waning public confidence in the legal profession makes it imperative that all local and state bar associations deal effectively with all types of professional misconduct. Almost 90 percent of all federal courts have agreed to participate in ABA's National Discipline Bank to keep informed of any disciplinary proceedings against lawyers in state and federal courts.[8] Burger also urged lawyers to hold down the costs of litigation: "There is a risk that lawyers may be pricing themselves out of the market. This must be met by the profession, or it may well be dealt with by external forces."[9]

Dentists, too, are advised by their professional organization to report all instances of "gross and continually faulty treatment" and to give expert testimony against such practices.[10]

The same theme is reflected in *The Care and Management of the Sick and Incompetent Physician*. Medical practitioners are urged to assume the responsibility of protecting the public from physicians whose physical addictions or mental or emotional problems have left them unfit to practice.[11]

Pharmacists may have taken the most active role of all by establishing a task force to set standards of practice based on the results of a six-year, quarter-of-a-million-dollar internal study. They hope not only that the standards will provide a means of self-evaluation, but that consumers will have a means to assess whether they are getting competent services. Proponents of this study hope that its wide dissemination will help reduce malpractice complaints and provide a model of self-regulation for the other medical professions.[12]

All the fields that have policed their own ranks are on the defensive, trying to shore up standards before they too end up with nonprofessionals on their regulatory boards. What implications does this have for educators? For a profession already trying to defend itself against accusations that it is inefficient, uneconomical, and just plain uninspiring, education seems ill-equipped to launch a battle on a new front. If such a battle is fought at all, teachers, administrators, and teacher educators will have to coordinate their efforts and parallel the medical and legal professions by taking a more active role in policing the profession.

One roadblock may well be tenure laws. While tenure laws protect the rights of competent teachers and administrators, they also make attempts to dismiss incompetents so controversial and time-consuming that they are all too rarely carried out. This protection strains the credibility of consumers, whose own jobs may be less secure, and who may fail to believe that the political conditions that made tenure necessary are still operating. As long as the public sees tenure as a protection of mediocrity and incompetence in education, it is unlikely to be sympathetic to demands that state regulatory boards be turned over to those within the profession.

There is a final lesson teachers and administrators can learn from law and medicine. If they wish to avoid the mandate of meaningless and trivial tests and inservice, they must take a leadership role in planning and voluntarily participating in continuing education programs throughout their professional careers. This will not be as easy for educators as it is for some other professionals, whose inservice content is often logically dictated by recent political issues and scientific discoveries. The difficulties of tailoring programs to meet the needs of individual schools and even individual educators will certainly be complex. But who is in a better position to assess and meet these needs than the profession itself? The alternative is a bleak one: Education will continue to face the blunderbuss of legislated programs that do little good for anyone.

**Taking the Initiative**

Before teachers, administrators, or teacher educators can convince politicians to accept their standards for quality, they had better be clear about where they stand on the issues.

In the first place, teachers and administrators have to admit they cannot survive professionally without continuing education. When professional organizations decry inservice education as a waste of their members' time, their public image is further tarnished. As the public sees it, either teachers and administrators lack the interest and energy to improve their professional skills, or the profession lacks a content base of such skills. Either way, the likelihood of support for teacher input into legislation is reduced.

In the second place, teachers and administrators must realize that they neither can nor should have complete control of their own continuing education. It makes good sense to give practitioners the major role in deciding what kind of programs they need for their own professional growth and how they should be organized. But when these same practitioners become central to decisions about whether such inservice should receive academic or certification credit, criticism about conflict of interest is likely to arise, particularly in areas where teachers and administrators are reimbursed for such credits.

Third, teachers, administrators, and teacher educators must stop quibbling about the size of their piece of the inservice pie and focus instead on dividing power according to who can best help practitioners assess their needs and whose resources are best suited once inservice needs are defined. Continuing in the present course—dividing and duplicating effort—will only waste good talent and resources badly needed for improving the quality of education.

**"Before teachers, administrators, or teacher educators can convince politicians to accept their standards for quality, they had better be clear about where they stand on the issues."**

A realistic appraisal of what is succeeding for other professionals should lead educators to a fourth commitment. They will lose ground by default unless they take an active role in protesting that which is misguided and in suggesting alternatives for positive growth. To start in the right direction, they should apply certain aspects of the medical/legal model for continuing education to their own profession. For example, experimental research and successful field-tested programs can provide a foundation for making sound decisions about educational practice. Educational researchers and practitioners should improve the dissemination of research findings through journals, conferences, workshops, and any other mode that makes information readily available to practitioners.

Finally, educators must upgrade their profession from the inside instead of just defending it against volleys from the outside. Tenure laws that protect incompetents and grievance procedures that consistently align teachers' associations with those accused of poor professional practice do little to promote a sense of regeneration within the group or to project this image to the public. Administrative decisions that ignore sound educational practice in favor of cutting budgets may be ingratiating to school boards and local communities, but in the long run they subvert the cause of quality education. As long as such conflict is perceived by the public but ignored by the profession, education will remain the hostile recipient of legislation drafted for those who cannot or will not clean up their own act. ■

[1] George H. Gallup, "The Eleventh Annual Gallup Poll of the Public's Attitudes Toward the Public Schools," *Phi Delta Kappan* 60 (September 1979): 33-45. Eighty-five percent of those surveyed said that teacher candidates should have to pass a state board examination similar to those now required for doctors and lawyers. The same high percentage overwhelmingly favored periodic competency testing for relicensing of teachers and administrators.

[2] Beverly T. Watkins, "Continuing Education for Professionals," *Chronicle of Higher Education* XIX (4 September 1979): 9.

[3] Leroy W. Nattress, "Continuing Education for the Professions," *Convergence* III (1970): 42-49.

[4] Christopher J. Lucas, "Teacher Education and Its Governance," *Educational Forum* 42 (May 1978): 472.

[5] John Ryor, "Teacher Centers," *Today's Education* 68 (April-May 1979): 5.

[6] Robert C. Blackmon, "The Coming Push for Control of Teacher Education," *Phi Delta Kappan* 60 (October 1978): 134.

[7] "Ballot Box," *American School Board Journal* 166 (February 1979): 42.

[8] "Chief Justice Comments on Trial Advocacy Training," *Proforum* 1 (March 1979): 5.

[9] Linda Greenhouse, "Burger Proposes that a Judicial Panel, Not Congress, Create U.S. Judgeships," *New York Times*, 3 February 1980.

[10] "On the Dental Front," *Proforum* 1 (May 1979): 4.

[11] Robert C. Green, George J. Carroll, and William D. Burton, *The Care and Management of the Sick and Incompetent Physician* (Springfield, Ill.: Charles C. Thomas, 1978).

[12] "Pharmacists Take Initiative in Assuring Competence," *Proforum* 2 (July 1979): 4-5.

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# Symbol of a Shift from Status to Function: Formation of the Association for Supervision and Curriculum Development

O. L. Davis, Jr.

*An account of the dynamic forces, trends, and especially the personalities whose interactions resulted in the merger in 1943 of the Department of Supervisors and Directors of Instruction, NEA, and the Society for Curriculum Study into the Association for Supervision and Curriculum Development.*

The 20 men and women had journeyed to windy Chicago from across the war-shocked nation, from as far away as Seattle, Albany, and Nashville. There, during the days of March 27-30, 1943, they worked out the details of the merger of the Department of Supervisors and Directors of Instruction, NEA, and the Society for Curriculum Study. The new Department for Supervision and Curriculum Development was at last a reality.[1]

Steps leading to the merger and the new organization had begun seven years earlier. Specific action was initiated in November 1940. At no time had the moves of cooperation between the Department and the Society toward merger been without some dissent. The deliberate merger momentum of the last two years brought forth a flurry of vigorous opposition, not enough to forestall merger, but enough to delay it and enough to dramatize fundamental differences in the practice of supervision and curriculum development.[2]

This new organization, later to change its name from Department to Association for Supervision and Curriculum Development,[3] appears to have symbolized to many a shift in emphasis from status position to educational function. This shift was already apparent in many school systems. At any rate, the merger was not simply the absorption of the Society, an organization of about 700 members, into the larger Department with its near-2,000 members. Lou LaBrant, editor of the Department's journal, *Educational Method*, noted the extent of expected change by concluding her final editorial with the quotation, "The old order changeth, giving place to new."[4]

[1] "Program of the Department of Supervision and Curriculum Development." *Educational Method* 22:344-53; May 1943.

[2] Preparation of this account was aided immeasurably by several unpublished sources. Galen Saylor's lengthy "The Founding of the Association for Supervision and Curriculum Development" (n.d) was of special help. Other major sources were interviews with Hollis L. Caswell, Helen Heffernan, L. Thomas Hopkins, Alice Miel, and Harold Spears on deposit in the Oral History Collection, Center for History of Education, The University of Texas at Austin.

[3] The name was changed officially to Association for Supervision and Curriculum Development effective February 1, 1946, only weeks before its first annual conference in St. Louis. Caswell has remarked that the name change was a formality only and did not alter the thrust of the organization.

[4] Lou LaBrant. "Valedictory." *Educational Method* 22:345; May 1943.

*Ruth Cunningham, employed as executive secretary of the Department of Supervisors and Directors of Instruction in 1940, continued as executive secretary after merger and became editor of the new journal,* Educational Leaders' ..

*Helen Heffernan, an opponent of merger, spoke out against a large "umbrella" organization, believing in the need for many organizations with varying purposes and opportunities.*

## Emergence of New Roles; Formation of New Organizations

Both of ASCD's predecessor organizations were formalized in the 1920s and may be understood as dimensions of the general drive toward professionalization.[5] From their quite independent beginnings, each met annually at the midwinter convention of the influential Department of Superintendence (later to become the American Association of School Administrators). Both developed vigorous programs including publications and additional meetings. Their membership appears to have been drawn from the mainstream of American public education.

In 1921, a group of instructional supervisors organized themselves into the National Conference of Educational Method. Always devoted to the improvement of teaching, the organization was admitted to the National Education Association in 1929 as its Department of Supervisors and Directors of Instruction. The Department, from the first, welcomed all individuals who were interested in instructional improvement to its membership and meetings. Nevertheless, it appeared to draw most of its members and leaders from those holding school supervisory appointments and college professors of supervision and teaching methods. For example, C. L. Wright, the Huntington, West Virginia, superintendent of schools, was its first president. William Heard Kilpatrick of Teachers College, Columbia University, and popularizer of the project method, attracted a large audience to the organization's first session and was elected its third president.

The Department's *Journal of Educational Method* began publication in September 1921, under the editorship of James F. Hosic, also the group's secretary-treasurer. Hosic held both these positions until 1939 when Lou LaBrant of The Ohio State University succeeded him as editor.[6] He continued as an elected officer of the Depart-

[5] For a discussion of emergent professionalism, see: Walter Doyle. "Education for All: The Triumph of Professionalism." In: O. L. Davis, Jr., editor. *Perspectives on Curriculum Development, 1776-1976.* Washington, D.C.: ASCD, 1976. pp. 17-75.

[6] James L. Hosic also was instrumental in organizing the National Council of Teachers of English in 1911 when he was on the faculty of Chicago Normal College.

ment even after the merger. The organization's publications program expanded in 1928 with the issuance of its first yearbook, *Educational Supervision*. Publication of yearbooks continued through the 1943 merger into the present ASCD practice.

Membership in the Department decreased slightly during the mid-1930s, but the decade saw the organization embark on several noteworthy actions. Its headquarters were moved to the NEA building in Washington, D.C., in 1936, and an executive secretary, Mary F. Hazell, was employed. Moves were undertaken to assess its purposes and to strengthen its activities. One such move was the employment of Ruth Cunningham as executive secretary in 1940. Another was the preparation of a long-term plan for development following Department officers' recognition of the question, "Is there a need for a Department . . .?"[7] A third action was involvement in joint meetings and cooperative projects with other groups, most conspicuously with the Society for Curriculum Study.

The Society, itself a combination of groups of public school and of college workers in the newly emerging curriculum field, had been organized in 1929 under the leadership of Henry Harap.[8] Apparently, this formal organization followed several years of regular discussion meetings attended by practicing curriculum workers.[9] Membership was quite small at first, an invited group of 48, but rose to a high of 807 in 1939. W. W. Charters, then at The Ohio State University, was the Society's first chairman and Henry Harap was its secretary. Subsequent executive secretaries were J. Paul Leonard of Stanford University, beginning in 1938, and Gordon Mackenzie, then at the University of Wisconsin, beginning in 1942.

*Hollis Caswell was elected second DSCD president in 1944 and was reelected the following year, the only person to serve two terms as association president.*

*Alice Miel, one of the first two DSCD vice-presidents, also served as president of ASCD in 1953-54.*

[7] Julia L. Hahn. "Editorial Comment." *Educational Method* 20:205-206; January 1941.

[8] Henry Harap of Western Reserve University was also instrumental in organizing the John Dewey Society in 1935. See: H. C. Johnson, Jr. "Reflective Thought and Practical Action: The Origins of the John Dewey Society." *Educational Theory* 27:65-75; Winter 1977.

[9] L. Thomas Hopkins has recalled that the first rather informal meeting was one he called in 1925. He was a general coordinator of the systemwide curriculum study in Denver, Colorado, at the time.

For a small organization, the Society developed an extensive publications program. The *Curriculum Journal* began publication in 1935 under Harap's editorship although a "News Bulletin" had been issued to members as early as 1930. Several books, including a few completed cooperatively with other groups, were sponsored by the Society. Significantly, the *Changing Curriculum* was planned in cooperation with and was also the 1937 yearbook of the Department of Supervisors and Directors of Instruction. Likewise, the 1942 *Americans All: Studies in Intercultural Education* was a joint Society-Department project (along with the National Council of Teachers of English). Perhaps the most ambitious Society publication effort was the *Building America* series. Its first issue published in 1935, this innovative and unusual project continued as an ASCD activity until 1948 when it succumbed in the wake of vicious attacks by conservative groups and loss of sales.[10]

## Department-Society Cooperation Toward Merger

The year 1936 saw the first overt moves toward bringing the Department and the Society closer together. At that time, Hollis L. Caswell, then at George Peabody College for Teachers, was serving as the Society's chairman and was also a member of the Department's Board of Directors. That year, the two groups planned a joint publication, *Changing Curriculum*. Informal conversations were also held between officers of the two groups to explore possibilities of merger and the Society established a standing committee on consolidation with the Department. Subsequent joint sessions at the annual meetings resumed in 1940.

Advantages of a merged organization apparently were increasingly obvious to many including all officers of the Society and most officers of the Department. The desire to build an increasingly strong, dynamic organization within the NEA and one that would have the prestige accorded the AASA were major goals. While overlapping membership probably was not extensive, among the leaders of both groups there was considerable duplication of membership.

At the 1941 convention in Atlantic City, the previously informal discussions about cooperation became serious proposals for merger. Some of these sessions are remembered as highly emotionally charged. At one Department executive committee meeting, reportedly more than one member wept during merger discussion. Both the Society and the Department instructed committees to gather membership opinion about merger and to propose constitutional changes to be voted on at the 1942 convention in San Francisco.[11]

Paul T. Rankin of the Detroit schools and H. Ruth Henderson of the Virginia State Department of Education made up the Department's committee and drafted amendments to that group's constitution. During the fall of 1941, the Department's executive committee (by 6-1 vote) endorsed the merger plan as did the board of directors (20-3). A poll of Department members overwhelmingly supported merger (534-95). A similar poll of Society members demonstrated a 10-1 ratio favoring merger.[12] Approval of merger plans at the 1942 convention appeared certain.

By the time members assembled in San Francisco in February 1942, the impact of wartime had disrupted plans for the Department's meeting theme of "Developing Working Unity" and a concern for intercultural education. With national resources undergoing war mobilization, attendance at the meeting was reduced dramatically from that of previous years. Most attendees, as a matter of fact, were Californians. The nature of this attendance was an ill omen for the Department-Society merger plan.

Major opposition to the merger appears to have been carried by Helen Heffernan of the California State Department of Public Instruction, although Maycie K. Southall of George Peabody College for Teachers was also a prominent opponent. Heffernan was particularly vigorous in her opposition at the San Francisco session. In the weeks prior to the convention, she had urged

[10] See: Robert Ernest Newman, Jr. "History of a Civic Education Project Implementing the Social Problems Techniques of Instruction." Unpublished doctoral dissertation, Stanford University, 1961.

[11] Ruth Cunningham. "Our Twenty-First Convention." *Educational Method* 20:338; April 1941.

[12] Ruth Cunningham. "Our Twenty-Second Convention." *Educational Method* 21:322-24; April 1942.

*Gordon N. Mackenzie, executive secretary of the Society for Curriculum Study in 1942, served as president of ASCD in 1955-56.*

large attendance by California supervisors and, when the merger vote was taken, the proposal was crushed by a 56-23 vote. Because most members could not be present at the meeting, those attending did amend the constitution to permit an official mail ballot on the merger issue.

The central issues in the merger debates were clear, and positions taken represented fundamentally different responses. Merger supporters[13] urged that one strong, vital national organization would better serve instructional improvement than would two groups. Further, they contended that modern supervision should be seen as a participatory process in which many persons contributed to the task. Heffernan and other merger opponents[14] insisted that competent, one-to-one supervision be retained and rejected any claims that it was outdated. Further, they opposed a large "umbrella" organization, believing in the need for many organizations with varying purposes and opportunities.

Members departed San Francisco for their long trips home knowing that merger would come, but that it would be delayed again. Official mail balloting by the Department and Society memberships, completed in the late summer, 1942, favored merger. On October 10-11, merger was approved by both executive committees at a joint meeting in Chicago, and plans were announced for the first annual meeting of the new DSCD to be held in St. Louis in February 1943.[15]

"War Needs and Long-Range Values" and "In-Service Education of Teachers" were to be the theme of the 1943 meeting. But the convention was canceled by action of the Office of Defense Transportation.

Election of new officers was conducted by mail and 20 of the new Board of Directors were able to come to Chicago in March, at their own expense, to develop a program for the new organization. H. Ruth Henderson was chosen first DSCD president. Alice Miel of Teachers College, Columbia University, and Edgar M. Draper were named vice-presidents. Hosic was elected field secretary. Jennie Wahlert of the St. Louis schools, Southall, and Caswell were members of the executive committee. Ruth Cunningham continued as the Department's executive secretary and be-

[13] Caswell had been a merger advocate for years. Those he remembers especially working for consolidation include the Department president Julia Hahn of the Washington, D.C., schools; Edith Bader of the Ann Arbor, Michigan, schools; Rudolph Lindquist of the Cranbrook, Michigan, school; G. Robert Koopman of the Michigan Department of Public Instruction; Gladys Potter of the Long Beach, California, schools; Ethel Ward of the Alameda County, California, schools; and J. Paul Leonard of Stanford University. Heffernan recalls that Leonard was a major architect of the merger.

[14] Heffernan was a member of both Department and Society. After early 1942, she reduced her participation in professional association work for a number of years. She later became involved in ASCD activities for a time. The intensity of her beliefs and feelings about the Department-Society merger issues still runs high, thirty-six years later. Southall was active in the new organization from the beginning and served as an elected officer longer than any other person.

[15] "Merger Approved." *Educational Method* 22:92; November 1942. The announcement was signed by the Department president, Dale Zeller of Kansas State Teachers College, Emporia, and the Society chairman, Edgar M. Draper of the University of Washington.

came editor of the new journal, *Educational Leadership*.[16]

Pressures of World War II prevented most activity by the Department of Supervision and Curriculum Development. In 1944 and 1945, continuing wartime travel restrictions prohibited conventions. Nevertheless, the new journal was launched and yearbook publication continued. Also, committees were established and work was conducted by correspondence. Members of the board of directors were elected annually and the board, at a once yearly meeting, elected officers and conducted other business. Caswell, then of Teachers College, Columbia University, was elected second DSCD president in 1944 and was reelected the following year, the only person to serve two terms as association president.

The new organization had been born "in a period of world strife and reconstruction," editorialized LaBrant, and she asserted that "It is a matter of pride that leaders in education can maintain vision and make advances in such times."[17] With the war's termination in August 1945, and rapid return to peacetime, the organzition again planned its first annual conference and again for St. Louis. This time, the meeting would not be canceled. The Association for Supervision and Curriculum Development, already three years old, began to build on both its heritage and its vision.

[16] "Programs of the Department of Supervision and Curriculum Development." *Educational Method* 22:344-53; April 1943. H. Ruth Henderson. "A Message from the President." *Educational Leadership* 1:39; October 1943. Another date, March 1, 1943, exists as published evidence of the merger date. See Harold Spears, editor. *Leadership at Work*. Washington, D.C.: Department of Supervisors and Directors of Instruction, 1943. This date must be seen as spurious inasmuch as this yearbook was advertised and first copies probably were distributed as early as December 1942.

[17] Lou LaBrant, *op. cit.*

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# Guide for Readers

IN THE FOLLOWING PAGES, THE CONTENT OF THE 14 PUBLICATIONS listed below has been keyed to the nine topics that provided the outline for this book of readings. The topics were defined from the content normally addressed in an introductory graduate level course in educational supervision. The articles contained in this book of readings have also been selected—and grouped accordingly—for their relationship to those same nine topics.

For each of the 14 books, the chapters and/or selected sections have been matched in a matrix format to the corresponding nine topic designations. The user of any one of the 14 books can therefore turn to the matrix prepared for that volume and determine which portions of that book relate to which topic and the articles chosen to elaborate that topic. In like manner, the reader can move from any one of the nine topics to the appropriate chapters or sections in one or more of the 14 books.

Alfonso, R. J.; Firth, G. R.; and Neville, R. F. *Instructional Supervision: A Behavior System*. 2nd ed. Allyn and Bacon, 1981.

Blumberg, A. *Supervisors and Teachers: A Private Cold War*. 2nd ed. McCutchan Publishing Corp., 1980.

Dull, L. W. *Supervision: School Leadership Handbook*. Charles E. Merrill, 1981.

Glickman, C. D. *Developmental Supervision: Alternative Practices for Helping Teachers Improve Instruction*. ASCD, 1981.

Goldhammer, R.; Anderson, R. H.; and Krajewski, R. J. *Clinical Supervision: Special Methods for the Supervision of Teachers*. 2nd ed. Holt, Rinehart and Winston, 1980.

Harris, B. M. *Supervisory Behavior in Education*. 2nd ed. Prentice-Hall, 1975.

Lucio, W. H., and McNeil, J. D. *Supervision in Thought and Action*. 3rd ed. McGraw-Hill, 1979.

Marks, J. R.; Stoops, E.; and King-Stoops, J. *Handbook of Educational Supervision: A Guide for the Practitioner*. 2nd ed. Allyn and Bacon, 1978.

Neagley, R. L., and Evans, N. D. *Handbook for Effective Supervision of Instruction*. 3rd ed. Prentice-Hall, 1980.

Oliva, P. F. *Supervision for Today's Schools*. Thomas Y. Crowell, 1976.

Sergiovanni, T. J., ed. *Supervision of Teaching*. 1982 Yearbook. ASCD, 1982.

Sergiovanni, T. J., and Starratt, R. J. *Supervision: Human Perspectives*. 2nd ed. McGraw-Hill, 1979.

Wiles, J., and Bondi, J. *Supervision: A Guide to Practice*. Charles E. Merrill, 1980.

Wiles, K., and Lovell, J. T. *Supervision for Better Schools*. 4th ed. Prentice-Hall, 1975.

Topics in Educational Supervision

| Book | A<br>History, Nature, and Purposes of Educational Supervision | B<br>Tasks of Educational Supervision | C<br>Trends in Organization for Supervisory Services | D<br>Human Skills in Supervision |
|---|---|---|---|---|
| Alfonso, R. J., Firth, G. R. & Neville, R. F., **Instructional Supervision: A Behavior System** (2nd ed.), Allyn and Bacon, 1981 | **Part I** A Rationale for Instructional Supervisory Behavior<br>**Chapter 1** Supervision: An Organizational Imperative<br>**Chapter 2** The History of Supervision in Education<br>**Chapter 3** The Nature of Instructional Supervisory Behavior | **Chapter 9** Definitions and Relationships of Critical Components<br>**Chapter 10** The Supervisory Skill Mix | **Chapter 11** Educational Environments and Supervisory Services | **Chapter 4** Organization Theory: Implications for Instructional Supervisory Behavior<br>**Chapter 5** Leadership Theory: Implications for Instructional Supervisory Behavior<br>**Chapter 6** Communication Theory: Implications for Instructional Supervisory Behavior |
| Blumberg, A., **Supervisors and Teachers: A Private Cold War** (2nd ed.), McCutchan Publishing Corp., 1980 | **Chapter 1** Supervision, Supervisors, and Teachers<br>**Chapter 3** The Goals and Realities: Digging a Bit Deeper | | **Chapter 2** Part of the Problem is in the System<br>**Chapter 5** The Organizational Environment of Supervision<br>**Chapter 10** Supervision: An Organizational Category in Search of Itself | **Chapter 4** Some Fantasies about Supervisors and Teachers<br>**Chapter 6** Supervisors' Styles of Behavior<br>**Chapter 7** Behavior, Interpersonal Relations, and Morale<br>**Chapter 8** The Teacher's Perspective on Motivation<br>**Chapter 9** As Supervisors See Their Job<br>**Chapter 15** Balancing Things Out: Reciprocity<br>**Chapter 16** Supervision as Interpersonal Intervention<br>**Chapter 18** Socialization and Supervision |

Topics in Educational Supervision

| E<br>Supervisory Techniques for Planning and Managing Educational Programs | F<br>The Supervisor as Facilitator in the Improvement of Teaching and Learning | G<br>The Supervisor as Leader in Curriculum Development | H<br>The Supervisor as Leader in Staff Development | I<br>The Supervisor as a Researcher and Member of the Profession |
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| **pp. 347-357**<br>**Chapter 7** Decision Theory: Implications for Instructional Supervisory Behavior<br>**Chapter 8** Change Theory: Implications for Instructional Supervisory Behavior<br>**Chapter 13** Accountability in Supervision<br>**Chapter 14** Collective Bargaining and the Delivery of Supervision | **pp. 41-45**<br>**pp. 357-366** | | **Chapter 12** Staff Development and Supervisory Responsibility | **Part V** Future Directions for Instructional Supervisory Behavior<br>**Chapter 15** Theoretical Formulations<br>**Chapter 16** Emerging Practices |
| | **Chapter 10** Analyzing Supervisor-Teacher Interaction<br>**Chapter 11** The Realities of Interaction<br>**Chapter 12** A Data Base for Supervisors<br>**Chapter 13** Tenured Teachers and Supervisors: Mutual Avoidance<br>**Chapter 14** Helping and Evaluating: Role Conflict<br>**Chapter 17** Teachers Supervising Teachers | | | |

Topics in Educational Supervision

| Book | A<br>History, Nature, and Purposes of Educational Supervision | B<br>Tasks of Educational Supervision | C<br>Trends in Organization for Supervisory Services | D<br>Human Skills in Supervision |
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| Dull, L. W., **Supervision: School Leadership Handbook,** Charles E. Merrill, 1981. | **Chapter 1** Nature and Scope of Supervision | **pp. 11-14** | **Chapter 3** Organizational Plans and Governmental Roles<br>**pp. 96-97** | **Chapter 4** Human Dynamics of Leadership<br>**Chapter 5** Communication<br>**Chapter 8** Supervision through Groups |

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| **Supervisory Techniques for Planning and Managing Educational Programs** | **The Supervisor as Facilitator in the Improvement of Teaching and Learning** | **The Supervisor as Leader in Curriculum Development** | **The Supervisor as Leader in Staff Development** | **The Supervisor as a Researcher and Member of the Profession** |
| **Chapter 2** Organizational Management<br>**Chapter 20** Community Relations and Participation | **Chapter 9** Supervision through Individuals<br>**Chapter 11** Visitation and Observation<br>**Chapter 12** Instructional Resources<br>**Chapter 13** Teacher Evaluation<br>**Chapter 15** Instructional Methods and Strategies<br>**Chapter 16** Management of Instruction<br>**Chapter 17** Instruction of Communication Skills<br>**Chapter 18** Evaluation of Student Achievement<br>**Chapter 19** Guidance for Understanding Students | **Chapter 10** Curriculum Development | **Chapter 7** Staff Development | **Chapter 6** Professionalization<br>**Chapter 14** Evaluation of Supervision<br>**Chapter 21** A Glimpse of the Future |

Topics in Educational Supervision

| Book | A<br>History, Nature, and Purposes of Educational Supervision | B<br>Tasks of Educational Supervision | C<br>Trends in Organization for Supervisory Services | D<br>Human Skills in Supervision |
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| Glickman, C. D., **Developmental Supervision: Alternative Practices for Helping Teachers Improve Instruction,** ASCD, 1981. | | | | |
| Goldhammer, R., Anderson, R. H. & Krajewski, R. J., **Clinical Supervision: Special Methods for the Supervision of Teachers** (2nd ed.), Holt, Rinehart and Winston, 1980. | **Chapter 2** Supervisor Role Responsibilities | | **Chapter 1** Clinical Supervision: Concept or Method? | **Chapter 4** Setting the Stage for Clinical Supervision |
| Harris, B. M., **Supervisory Behavior in Education** (2nd ed.), Prentice-Hall, 1975. | **Chapter 1** The Instructional Supervision Function | **pp. 11-25**<br>**pp. 64-66** | **Chapter 5** Organizing and Staffing for Supervision | **Chapter 2** Dynamics of Supervisory Behavior<br>**Chapter 10** Leadership and Group Behavior<br>**Chapter 11** Communications, Power, and Influence |

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| E<br>Supervisory Techniques for Planning and Managing Educational Programs | F<br>The Supervisor as Facilitator in the Improvement of Teaching and Learning | G<br>The Supervisor as Leader in Curriculum Development | H<br>The Supervisor as Leader in Staff Development | I<br>The Supervisor as a Researcher and Member of the Profession |
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| | **Entire Book** | | | |
| | **Chapter 5**<br>The Preobservation Conference<br>**Chapter 6**<br>Observation<br>**Chapter 7**<br>Analysis and Strategy<br>Part I: Methods<br>**Chapter 8**<br>Analysis and Strategy<br>Part II: Problems and Elements<br>**Chapter 9**<br>The Supervisory Conference<br>**Chapter 10**<br>The Post-conference Analysis | | | **Chapter 11**<br>Clinical Supervision Today<br>**Chapter 12**<br>The Future |
| **Chapter 3**<br>Systems for Operationalizing Supervision Programs<br>**pp. 143-159**<br>(Systems Analysis) | **Chapter 6**<br>Evaluation of Instructional Programs<br>**Chapter 7**<br>Observing and Analyzing Instruction<br>**Chapter 8**<br>Teaching Behavior<br>**Chapter 14**<br>Observation Applications | **p. 11** (Task 1)<br>**p. 18**<br>**p. 55**<br>**pp. 326-327**<br>**pp. 380-385** | **Chapter 4**<br>Activities for Supervision Program Implementation<br>**Chapter 12**<br>Program Effectiveness | **Section II**<br>Studies Related to Supervision<br>**pp. 112-113** |

Topics in Educational Supervision

| Book | A<br>History, Nature, and Purposes of Educational Supervision | B<br>Tasks of Educational Supervision | C<br>Trends in Organization for Supervisory Services | D<br>Human Skills in Supervision |
|---|---|---|---|---|
| Lucio, W. H. & McNeil, J. D., **Supervision in Thought and Action** (3rd ed.), McGraw-Hill, 1979. | **Chapter 1** A Historical Perspective of Supervision | **Chapter 2** Who Is a Supervisor? | **Chapter 4** Political and Bureaucratic Structure of Schools | **Chapter 7** Supervisors' and Teachers' Perceptions of Each Other<br>**Chapter 8** Communication<br>**Chapter 9** Creativity and Change<br>**pp. 110-120** |
| Marks, J. R., Stoops, E. & King-Stoops, J., **Handbook of Educational Supervision: A Guide for the Practitioner** (2nd ed.), Allyn and Bacon, 1978. | **Chapter 1** Background for School Supervision | **Chapter 2** Special Problems: The Role of the Intermediate Unit in Supervision<br>**Chapter 3** Special Problems: The Role of the State and Federal Government in School Supervision | **Chapter 4** Organizing the Supervisory Program | **Chapter 5** How to Be a Successful Supervisor through Leadership and Human Dynamics<br>**Chapter 9** How to Provide Successful Faculty Meetings |

Topics in Educational Supervision

| E<br>Supervisory Techniques for Planning and Managing Educational Programs | F<br>The Supervisor as Facilitator in the Improvement of Teaching and Learning | G<br>The Supervisor as Leader in Curriculum Development | H<br>The Supervisor as Leader in Staff Development | I<br>The Supervisor as a Researcher and Member of the Profession |
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| **Chapter 5** Effectiveness and Efficiency in Schools (especially pp. 103-107, supervision by objectives) | **Chapter 11** Appraising and Improving Performance | **Chapter 6** Strategies and Tactics for Program Improvement<br>**Chapter 13** Improving and Developing Curriculum | **Chapter 10** Learning and Supervisory Behavior | **Chapter 3** The Selection and Continuing Education of Supervisors<br>**Chapter 12** School-based Research |
| **Chapter 14** How to Improve the Work of Classified Personnel<br>**Chapter 15** How to Supervise the Program for Obtaining Community Support<br>**pp. 477-485** (use of systems analysis in curriculum development) | **Chapter 7** How to Improve Supervisory Visits<br>**Chapter 8** How to Improve Follow-Up Conferences<br>**Chapter 10** How to Measure Teacher Effectiveness and Improve Methods and Techniques of Instruction<br>**Chapter 11** How to Select, Organize, and Facilitate the Use of Instructional Media and Library Facilities<br>**Chapter 12** How to Help the Staff Understand and Guide Children | **Chapter 13** How to Help the Staff Study and Improve the Curriculum | **Chapter 6** How to Promote Staff Development and Handle Some Special Problems | **Chapter 16** How to Select Personnel for Supervisory Positions<br>**Chapter 17** How to Make Effective Decisions and Evaluate a Supervisory Program<br>**Chapter 18** Professional Responsibilities of the Supervisor<br>**Chapter 19** Further Trends and Issues: The Supervisor Looks to the Future |

Topics in Educational Supervision

| Book | A<br>History, Nature, and Purposes of Educational Supervision | B<br>Tasks of Educational Supervision | C<br>Trends in Organization for Supervisory Services | D<br>Human Skills in Supervision |
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| Neagley, R. L. & Evans, N. D., **Handbook for Effective Supervision of Instruction** (3rd ed.), Prentice-Hall, 1980. | **Chapter 1** The History, Characteristics, and Functions of Supervision<br>**Chapter 2** Theory and Research in Supervision | **pp. 8-16** | **Chapter 3** Organization and Function of Supervision in Districts of Various Sizes<br>**Chapter 4** Central Office Staff Members at Work Improving Instruction and Learning<br>**Chapter 5** The Principal and Other Building Personnel at Work Improving Instruction and Learning | **Chapter 6** Innovation and Factors That Influence Change<br>**pp. 254-270** |
| Oliva, P. F., **Supervision for Today's Schools**, Thomas Y. Crowell, 1976. | | **Chapter 1** What is Supervision? | **Chapter 2** Issues in Supervision | **Chapter 10** Helping Teachers to Work Together |

Topics in Educational Supervision

| E<br>Supervisory Techniques for Planning and Managing Educational Programs | F<br>The Supervisor as Facilitator in the Improvement of Teaching and Learning | G<br>The Supervisor as Leader in Curriculum Development | H<br>The Supervisor as Leader in Staff Development | I<br>The Supervisor as a Researcher and Member of the Profession |
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| pp. 44-48 (systems analysis)<br>pp. 91-94 (Accountability, Management by Objectives)<br>pp. 262-263 (Delphi Technique)<br>pp. 284-286 (competency-based education) | **Chapter 7** Working with Individuals Inside the Classroom to Improve Instruction and Learning<br>**Chapter 11** Selecting and Using Effective Learning Resources | **Chapter 10** How to Organize and Carry Out a Competency-Based Program of Curriculum Study and Development | **Chapter 8** Working With Individuals Outside the Classroom to Improve Instruction and Learning<br>pp. 270-276 | **Chapter 12** The Evaluation of Programs and Personnel |
| pp. 54-57<br>pp. 295-296 (Delphi Technique)<br>pp. 332-334 (Competency-Based Teacher Education)<br>pp. 419-420 (Systematic Planning) | **Chapter 3** Helping Teachers to Plan for Instruction<br>**Chapter 4** Helping Teachers to Present Instruction<br>**Chapter 5** Helping Teachers to Evaluate Instruction<br>**Chapter 6** Helping Teachers with Classroom Management<br>**Chapter 9** Helping Teachers to Evaluate Themselves | **Chapter 7** Helping Teachers with Curriculum Development<br>**Chapter 8** Helping Teachers to Evaluate the Curriculum | **Chapter 11** Helping Teachers Through In-service Programs | **Chapter 12** Improvement of Supervision in the Future |

Topics in Educational Supervision

| Book | A<br>History, Nature, and Purposes of Educational Supervision | B<br>Tasks of Educational Supervision | C<br>Trends in Organization for Supervisory Services | D<br>Human Skills in Supervision |
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| Sergiovanni, T. J. (ed.), **Supervision of Teaching** (1982 Yearbook), ASCD, 1982. | **Part I**<br>The Genesis of Supervision<br>**Chapter 1**<br>Supervision in Historic Perspective<br>**Part II**<br>The Many Faces of Supervision<br>**Chapter 12**<br>External influences on Supervision: Seasonal Winds and Prevailing Climate | | **Chapter 11**<br>Impact of the School's Bureaucratic Structure on Supervision | **Part III**<br>The Human Factor in Supervision<br>**Chapter 6**<br>The Self-Evolving Supervisor<br>**Chapter 7**<br>Colleagueship in Supervision<br>**Chapter 8**<br>The Context for Supervision<br>**Chapter 9**<br>Issues of Race and Sex in Supervision |
| Sergiovanni, T.J. & Starratt, R.J., **Supervision: Human Perspectives** (2nd ed.), McGraw-Hill, 1979. | **Part I**<br>Introduction<br>**Chapter 1**<br>Perspectives for Supervision | **pp. 17-21**<br>**pp. 25-26**<br>**p. 59** | **Chapter 3**<br>The Organizational Environment for Supervision<br>**Chapter 7**<br>Power, Authority, and Conflict in Supervision | **Chapter 4**<br>Building a Climate for Supervision<br>**Chapter 5**<br>Leadership Behavior and Supervisory Effectiveness<br>**Chapter 6**<br>A Contingency Approach to Supervisory Leadership<br>**Chapter 8**<br>The Human Organization of Schools<br>**Chapter 9**<br>Group Effectiveness and Supervision |

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| | **Chapter 2** A Scientific Approach to Supervision<br>**Chapter 3** The Clinical Approach to Supervision<br>**Chapter 4** An Artistic Approach to Supervision<br>**Chapter 5** Toward a Theory of Supervisory Practice: Integrating Scientific, Clinical, and Artistic Views | **Chapter 10** Impact of the Curriculum on Supervision | **pp. 173-176** | **Chapter 13** Creating a Future for Supervision |
| | **Chapter 14** Supervision and Evaluation<br>**Chapter 16** Clinical Supervision and Teacher Evaluation | **Chapter 12** Supervising Varieties of Curricula<br>**Chapter 13** An Environmental Design for the Human Curriculum | **Chapter 15** Supervision as Staff Development | **Chapter 10** The Controversial Context of Supervision<br>**Chapter 11** The Supervisor's Educational Platform<br>**Chapter 17** What Lies Ahead: The Best of Times, The Worst of Times |

Topics in Educational Supervision

| Book | A<br>History, Nature, and Purposes of Educational Supervision | B<br>Tasks of Educational Supervision | C<br>Trends in Organization for Supervisory Services | D<br>Human Skills in Supervision |
|---|---|---|---|---|
| Wiles, J. & Bondi, J., **Supervision: A Guide to Practice,** Charles E. Merrill, 1980. | **Chapter 1** The Field of Educational Supervision | **Chapter 2** Dimensions of Supervisory Leadership | pp. 30-32 | **Chapter 7** Effective Human Relations Through Supervision |
| Wiles, K. & Lovell, J.T., **Supervision for Better Schools** (4th ed.), Prentice-Hall, 1975. | **Chapter 1** Instructional Supervision Organizational Behavior System<br>**Chapter 2** The Evolvement of Instructional Supervision | **Chapter 13** The Beginning Supervisor | **Chapter 9** The Supervisory Team at the School District Level: Its Organization and Functions<br>**Chapter 10** The Supervisory Team at the Local School<br>**Chapter 12** Organization and Operation of the Faculty | **Chapter 3** Supervision Is Releasing Human Potential<br>**Chapter 4** Supervision Is Leadership<br>**Chapter 5** Supervision Is Communications<br>**Chapter 6** Application of Communication Theory to Supervisory Practices |

Topics in Educational Supervision

| E<br>**Supervisory Techniques for Planning and Managing Educational Programs** | F<br>**The Supervisor as Facilitator in the Improvement of Teaching and Learning** | G<br>**The Supervisor as Leader in Curriculum Development** | H<br>**The Supervisor as Leader in Staff Development** | I<br>**The Supervisor as a Researcher and Member of the Profession** |
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| **Chapter 11** Supervision and Modern Day Accountability<br>**Chapter 12** Developing Approaches to School Supervision | **Chapter 3** Leading Teachers in Planning Instruction<br>**Chapter 4** Leading Teachers in Implementing Instruction<br>**Chapter 5** Helping Teachers Work with Special Needs Students<br>**Chapter 10** The Supervisor and Improvement of Teaching Behavior | **Chapter 8** Leading Curriculum Development Through Supervision | **Chapter 6** Leading Effective In-service Programs | **Chapter 9** Research Orientations for the Supervisor<br>**Chapter 13** Future Roles for Supervisors<br>**Appendix C** Resources for Supervisors |
| | **Chapter 8** Supervision Is Improving Instruction | **Chapter 7** Supervision Is Curriculum Development | **Chapter 11** Staff Development in the Local School | **Chapter 14** The Future of Supervision |