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ABSTRACT

This annotated bibliography was prepared to serve as background material for the paper "Instructional Leadership: A Composite Working Model" by James R. Weber. Although not all the materials compiled in this bibliography propose discrete models of instructional leadership, the selections represent the range of issues, tasks, and perspectives that such a model must embrace. The materials were identified through a search of the ERIC Database, supplemented by manual reference, and almost all the items included have been published since 1980. A total of 35 items are annotated.
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Models of Instructional Leadership
Annotated Bibliography

James R. Weber

June 1987

Prepared for the
North Central Regional Educational Laboratory

by the
ERIC Clearinghouse on Educational Management
University of Oregon

Foreword

The ERIC Clearinghouse on Educational Management at the University of Oregon and the North Central Regional Laboratory at Elmhurst, Illinois, are pleased to offer this publication, part of a series of syntheses papers and annotated bibliographies on themes related to instructional leadership and school improvement. The Clearinghouse wrote and edited the materials under a sub-contract for the North Central Laboratory. Both agencies are now making the publications available to their respective clienteles.

The titles of all the publications in this series are as follows:

Synthesis Papers

Instructional Leadership: A Composite Working Model
Teacher Evaluation as a Strategy for Improving Instruction
From Isolation to Collaboration: Improving the Work
Environment of Teaching

Annotated Bibliographies

Models of Instructional Leadership
Teacher Evaluation
The Social and Organizational Context of Teaching

The author of this publication, James R. Weber, is a research analyst and writer for the ERIC Clearinghouse on Educational Management.

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Besides processing documents and journal articles, the Clearinghouse prepares bibliographies, literature reviews, monographs, and other interpretive research studies on topics in its educational area.

Introduction

This annotated bibliography was prepared to serve as background material for the writing of a synthesis paper, *Instructional Leadership: A Composite Working Model*, by James R. Weber.

Although not all the materials compiled in this bibliography propose discrete models of instructional leadership, they were selected to represent the range of issues, tasks, and perspectives that such a model must embrace. The reader who is interested in consulting a wider collection of materials is directed to the bibliography attached to the synthesis paper.

Almost all the items were published since 1980. They were identified through a search of the ERIC database, supplemented by manual reference.

Annotated Bibliography

Models of Instructional Leadership

Acheson, Keith. *The Principal's Role in Instructional Leadership.* Eugene, Oregon: Oregon School Study Council, Bulletin series, April 1985. ED 254 960.

Concentrating on the principal's supervisory role and relationship to teachers, Acheson sets out the ideal conditions for clinical supervision and methods of reducing the threat of evaluation. He finally considers *coaching* as the most suitable metaphor for instructional leaders--a participatory role that emphasizes the continuous improvement of teachers over an extended period.

Acheson, Keith A., with Smith, Stuart C. *It Is Time for Principals to Share the Responsibility for Instructional Leadership with Others.* Eugene, Oregon: Oregon School Study Council, Bulletin series, February 1986. ED 267 510.

The authors divide instructional leadership into functions, suggesting initially the domains of working with teachers, working with students, and working with instructional content. When principals try to perform all the roles needed in clinical supervision of teachers, they encounter strains in lack of time, lack of specific training in supervision, and tension in being both the evaluator and supervisor of teachers.

Acheson and Smith suggest dividing the evaluation and supervision functions and giving supervision duties to other responsible, knowledgeable people, who would work more closely with the principal (the chief planner/evaluator). Potential instructional leaders may be found among department heads, teachers, project directors, computer coordinators, program developers, and school administrators other than the principal. These new instructional leaders will have to be provided resources: information from students about instruction, self-analysis of teaching via video-tapes, support groups, referrals, or plans to monitor a teacher's progress.

The principal will be left the vital tasks of facilitating others' leadership, providing staff development, and working with probationary or recalcitrant teachers, as well as the old roles of evaluator and school manager.

Bird, Tom, and Little, Judith Warren. *Instructional Leadership in Eight Secondary Schools. Final Report.* Boulder, Colorado:

In a prelude to their report, Bird and Little provide a synthesis of principals' leadership qualities from seven major research studies on the principalship. They identify nine distinct roles of successful leaders, providing for each a list of the characteristics necessary to accomplish the role: the behaviors, goals, beliefs, vision of the school's purposes, modes of influence, and constraints.

Effective principals, their study finds, could be power brokers, building managers, discretionary decision-makers, Clinical supervisors, instructional coordinators, norm setters, systematic problem-solvers, and goal-setters, as well as jacks-of-all-trades. Bird and Little speculate about the dominant images of leadership and images of schools that principals probably hold for each role and the functions that principals must discharge for each. Principals' success may, in fact, depend on the balance they achieve among these roles, further shaped by the norms and contexts that form their schools.

Bossert, Steven T., and others. "The Instructional Management Role of the Principal." *Educational Administration Quarterly*, 18,3 (Summer 1982): 34-64.

The authors develop an early version of an instructional leadership model that was to receive more refinement in a later study (see Dwyer and others, *Five Principals in Action*, 1983). Drawn from other research studies, this preliminary model was later largely confirmed by the Far West Laboratory's own research data. However, establishing theoretical foundations, this article identifies a number of major areas controlling how principals affect student learning and sets out the problems that further research should answer about instructional leadership.

Bossert and his colleagues first identify the school contexts that the principal must deal with: school district and community interests, in particular. They then show how principals affect student learning by influencing two major areas of the school--climate and instructional organization. The previous literature on school leadership, they found, is limited in showing how personal characteristics, district characteristics, and the "external social environment" affect principals. However mute the research may be on these factors, they undoubtedly do influence approaches to management.

Principals translate their beliefs about instruction primarily through two major areas of school life: the instructional organization of the school and school climate. Principals exercise some control over classroom organization in ways that do not involve clinical supervision of teachers: through improving

instructional time on-task, regulating class size and composition, and placing and grouping students. School climate, like the influences of context, may be vaguely outlined in research but it is palpable in schools. It may be changed through a principal's vision of school goals or by how widely the staff agrees on those goals.

Finally, in making context, organization, and climate work together to improve instruction, principals use not only strategic activities but also styles of approach uniquely their own.

Brookover, Wilbur B., and others. *Creating Effective Schools: An Inservice Program for Enhancing School Learning Climate and Achievement.* Holmes Beach, Florida: Learning Publications, 1982. ED 229 457.

The authors present a model for implementing a school learning-climate program, divided into eleven modules that focus on individual components of the process. Their "suggested activities," in particular, offer concise, practical advice for those charged with being instructional leaders.

The aim of school management, they hold, is to improve or maintain good school learning climate, defined as the collective norms, organization, and practices that make up a school's social system and that may have an influence on instruction and learning. They identify three clusters of characteristics in learning climate: the ideology of the school (including the staff's beliefs or attitudes about education, and students' perceptions of the learning climate), the organizational structure of the school, and the instructional practices.

Instructional leadership, in terms of learning climate, then, means attending to instructional goals for grade levels and classes, adopting standards for grade levels and classes, obtaining necessary materials for teaching, providing summative and formative tests for teachers to consult or use, initiating the regular evaluating of programs, protecting classroom instructional time from interruptions, and rewarding activities among staff or students that further the instructional goals.

The eleven modules provided suggest strategies for accomplishing these and other leadership tasks. The strategies for increasing students' engaged time, for instance, include suggestions for increasing attendance, advice on increasing time allocated for instruction and for improving time on task, as well as ways of managing noninstructional planning to maximize its instructional benefit.

Brown, Frank, and Hunter, Richard C. "A Model of Instructional

Leadership for School Superintendents." Paper presented at annual meeting of the American Educational Research Association, San Francisco, California, April 16-20, 1986. ED 271 864.

Can superintendents be instructional leaders? Brown and Hunter answer an emphatic yes. Primarily, superintendents can lead instruction through the allocation and organization of resources in the district, but also through the superintendent's own example: in his or her allocation of working time and in creating a districtwide awareness of effective teaching and learning.

Using a goal-setting model developed by Henry Brickell of Policy Studies in Education, Brown and Hunter emphasize how goals can include boards of education as well as individual classrooms. The Brickell model moves from plans (including policies and regulations of the district) into the results that follow from the operations of the policies; then, results are evaluated, perhaps stimulating changes in the policy-makers' goals and standards. Once the cycle of policy-operations-evaluation is completed, it begins again with revised (and presumably better) policies.

By allocating their own time to developing better instructors and instructional leaders in their districts, superintendents can enliven the whole district's instructional process. The authors suggest ongoing seminars for principals and for teachers to improve instructional leadership at each school. If such seminars include feedback and followup over several years, a lasting awareness of effective behaviors can grow.

Bruss, Lyle R. "A University Initiated Model for Developing Instructional Leaders." *Theory Into Practice*, 25,3 (Summer 1986): 197-202. EJ 340 632.

This model sketches a school-based program of professional development for instructional supervisors and teachers that trains instructional leaders in schools, then uses them as mentors for training other leaders. Known as Effective Teaching and Supervision of Instruction (ETSI), it has been implemented in at least 50 school districts, affecting more than 3,500 teachers and instructional leaders. After briefing the interested school personnel, ETSI prescribes an eight-day workshop that develops the supervisory skills of instructional leaders; then, the leaders implement the program throughout the school year for their teachers.

Born at the School Service Bureau of the University of Wisconsin-Green Bay, ETSI uses the supervision materials of Madeline Hunter for a theoretical and clinical framework of ongoing staff development. The program follows Hunter's belief that teaching can be best supervised by analyzing performance and

then providing solutions to instructional problems. The framework for training adopts the four-stage coaching sequence of Joyce and Showers. Overall, the model employs its strategies in a three-part scheme: specifying the content areas of leadership in a school, explaining how information relevant to these areas can be learned and applied effectively, and noting what outcomes to expect and what to look for. The model thus trains instructional leaders to look for leadership content, process, and change in their school environments.

Burch, Barbara G., and Danley, W. Elzie, Sr., "Supervisory Role Proficiency: A Self-Assessment." *NASSP Bulletin*, 64,433 (February 1980): 91-97.

Rather than providing a dynamic model of instructional leadership, which shows interacting social influences within the school, a supervisory assessment scale reflects on a more limited scale the essential qualities an administrator may need to become a leader. The supervisory model developed by Burch and Danley, for instance, proposes ten roles a supervisor of teachers needs. Some of the roles are commonly recognized in other models of supervision: training and development, observation and evaluation, motivation, and resource allocation.

Other supervisory duties, which practitioners may readily recognize as needed in supervision, are not always reflected in other models: serving as a ceremonial host for guests, providing official policy information and facilitating information flow, developing contacts with people inside and outside the school system, managing crises or conflicts that may interfere with instruction, gathering and disseminating information (including new ideas), or maintaining routine records and office details.

Each of the ten areas is broken down into specific behaviors. The role of resource allocator, for instance, is divided into four subareas: having the skills to identify and acquire available human and material resources; ensuring that time, money, and materials are appropriately and proportionately distributed for maximum results; being able to effectively allocate personal time; and being able to avoid tasks that could as appropriately be done by others.

Cawelti, Gordon. "Effect Instructional Leadership Produces Greater Learning." *Thrust for Educational Leadership*, 9,3 (January 1980): 8-10. EJ 217 730.

Leadership models appear to identify two common characteristics of effective leaders: *task behaviors*, by which the leader puts more structure into the school through setting goals, establishing deadlines, or clarifying job descriptions; and

relationship behaviors, which motivate others concerned with instruction. These general leadership skills come into play in four specific instructional leadership areas: curriculum planning, supervision of teachers, staff development, and teacher evaluation. Leadership behaviors mean little, however unless they strive to bring about better learning in the classroom.

The goals for instruction--goals that are within an administrator's power to influence--are also those qualities that make teaching effective: ensuring adequate time on task for students, providing opportunities to learn essential materials, routinizing classroom management tasks, monitoring the level of difficulty of materials, establishing a climate for learning, keeping track of student progress, and communicating high expectations to students.

Chase, Cheryl M., and Kane, Michael B. *The Principal as Instructional Leader: How Much More Time before We Act?* Denver: Education Commission of the States. 1983. 30 pages. ED 244 369.

Chase and Kane provide a literature review and opinion piece on what needs to be done to increase instructional leadership skills for principals. They focus on how principals might determine their roles as instructional leaders, how principals' management responsibilities impinge upon their abilities to lead instructional programs and staff, and what is known about the characteristics of effective principals.

Given that most principals' time is taken with school management issues, the authors ask, How can we turn the present constraints into ways to help the principal be an effective instructional leader? With this pragmatic focus, they contribute to a model of instructional leadership by considering how working principals can be transformed into effective leaders. The effort would involve the whole district in defining the principal's role in job descriptions, developing principal evaluation and training systems, working with business to improve principals' management skills, and initiating "relevant, practical, and inservice principal training programs."

Deal, Terrence E., and Celotti, Lynn D. "How Much Influence Do (and Can) Educational Administrators Have on Classrooms?" *Phi Delta Kappan*, 61,7 (March 1980): 471-73. EJ 216 078.

By questioning administrators' influence on instruction, Deal and Celotti throw cold water on the possibility of formal strategies of instructional leadership. Their study of 34 San Francisco Bay area school districts examined teacher and administrative behaviors in 103 elementary schools during 1973 and 1975. Neither individualized instruction nor team teaching arrangements, they found, were influenced by schoolwide instructional policies,

school organization, or administrative structures.

Their findings support Karl Weick's analysis of the school as a loosely coupled system. "Educational organizations," they say, "appear to consist (at least around instructional matters) of a loose collection of individuals, units, or levels, each performing activities independently--as segmented units buffered from one another."

Instructional activities are probably coordinated best at informal levels. Administrators can influence classroom activities by offering advice and support as teachers' colleagues. Principals may also function as symbolic leaders, they suggest, encouraging the school rituals and ideals that produce positive morale.

Dwyer, David C. "Forging Successful Schools: Realistic Expectations for Principals." *Educational Horizons*, 63,1 (Fall 1984): 3-8. EJ 306 213.

Presenting a summary of the results of the Far West Laboratory's study of principals' instructional leadership (see Dwyer and others, *Five Principals in Action*), Dwyer here emphasizes the valuable point that successful principals use a "strategy of incremental action." That is, the principals that he observed had established a daily, predictable routine that touched all the vital activities: discipline, evaluation of teachers, developing community support, and planning for organizational development. Regular routines incorporating these activities allowed the principals to remain visible in the schools and available to teachers and students.

Although the principals studied were intensely concerned with bettering instructional practices, they accomplished the changes through "often repeated, gentle nudges in the intended directions." The principals also kept a strong sense of direction, lest their intentions and vision be lost. The principals were able to connect their routines, first, to their understanding of the school's environment, and then to their vision of what the school should be.

Dwyer, David C., and others. *Five Principals in Action: Perspectives on Instructional Management*. San Francisco: Far West Laboratory for Educational Research and Development, March 1983. 70 pages. ED 231 085.

Beginning with an instructional leadership model already developed, the authors studied five principals over an eight-week period, observing them through three full work days and interviewing them the following days. The researchers then constructed

individual models of each principal's patterns of instructional management. Finally, the models were compared and abstracted to provide a modified general model of instructional leadership.

Principals were selected from a group identified by superintendents and central-office personnel from San Francisco area districts as effective or successful principals. After interviewing thirty-two possible candidates, researchers selected five who were most articulate about their jobs and seemed most interested in the study. In addition, seven-year achievement profiles of their schools were prepared to confirm the school's academic effectiveness. Special care was taken to vary participants and schools by such factors as socioeconomic status and racial composition.

Researchers found that their initial, research-grounded model was accurate in identifying seven major areas of instructional leadership: three dealing with school contexts (the principal's personal characteristics, the institution's characteristics, and the community contexts); three with outcomes of a principal's leadership (school climate, instructional organization, and student achievement); and one with the characteristics of principals' management behaviors. The influences of community and institutional contexts on instructional management behaviors, they found, were profound, providing more constraints on a principal's instructional leadership than previous models may have reflected.

The leadership behaviors of individual principals were varied in style but surprisingly similar in the nature of their activities. Indeed, all the principals had well-established routines that enmeshed them in the daily instructional concerns of their schools. Each also had a working theory of instruction by which they interpreted and guided their daily management activities. Moreover, the principals studied considered school climate an important, changeable factor in improving instruction and learning, and they monitored (with varying degrees of direct intervention) such organizational matters as class size, schedules, staff assignments, classroom materials, and teaching techniques.

Overall, the core concept that emerges from this study "is one that visualizes instructional leadership accruing from the repetition of routine and mundane acts performed in accord with a principal's overarching perspective on schooling." That is, instructional leaders seem to be goal-driven but also attentive to the necessary details of daily management.

Gersten, Russell, and Carnine, Douglas. *Administrative and Supervisory Support Functions for the Implementation of Effective Educational Programs for Low Income Students.* Eugene, Oregon: Center for Educational Policy and Management, University of Oregon, September 1981. 36 pages. ED 208 519.

The authors suggest that the administrator's limited ability to influence classroom instruction can be offset by taking advantage of the natural loose coupling in school organizations. For administrators to use the resources already available for leadership, leadership *functions* should be defined for schools.

Successful programs, they note, seem to depend on a clearly articulated model of education in a school, on a consistent program with an academic emphasis for all grade levels, on frequent monitoring of student progress, and on high levels of concrete technical assistance for teachers. With these background characteristics, the support functions can be performed by anyone; they need not be given solely to a principal.

Gersten, Russell; Carnine, Douglas; and Green, Susan. "The Principal as Instructional Leader: A Second Look." *Educational Leadership*, 40,3 (December 1982): 47-50. EJ 272 642.

Because schools cannot wait for the ideal charismatic leaders to emerge, the authors urge that instructional leadership be divided into a set of critical functions that can be shared among the staff members most fit for each task. It is more important, they argue, that someone perform these tasks than who performs them. Instructional leadership, then, should not be concentrated in one role but shared among a network of interested, committed persons.

Glatthorn, Allan A., and Newberg, Norman A. "A Team Approach to Instructional Leadership." *Educational Leadership*, 41,5 (February 1984): 60-63. EJ 293 151.

Glatthorn and Newberg here build on their 1982 research (see Newberg and Glatthorn, *Instructional Leadership: Four Ethnographic Studies on Junior High School Principals*) to suggest that principals deliberately share the instructional leadership functions. This, say the authors, is a more realistic alternative than trying to assume both managerial and instructional leadership duties. Effectiveness and practicality both argue for team leadership. Because secondary schools are loosely coupled, shared leadership would fit the schools' structure better than does concentrated leadership. Principals would oversee classroom practices more indirectly, delegating instructional supervision to other staff, such as department heads.

The researchers suggest a four-stage team approach, which depends heavily upon an initial inventory of critical school functions to be shared. A diagnosis gathers data from the school to discern staff perceptions of the principal's present leadership and discover who is actually performing critical leadership functions. The functions are then delegated to persons perceived

as leader-figures, legitimizing their activities. Then, an effort is begun to coordinate the goals of the leadership teams. The process is finally evaluated and modified if necessary.

Graeber, Anna O., and others. *Capacity Building for a School Improvement Program: Achievement Directed Leadership.* Philadelphia: Research for Better Schools, Inc., December 1984. 187 pages. ED 252 918.

As a part of a monitoring and management system for instruction in elementary schools called Achievement Directed Leadership, the researchers with Research for Better Schools have devised this overall instructional leadership plan that incorporates classrooms, schools, and entire districts in a leadership strategy. Teachers, as the instructional leaders in classrooms, affect student learning by addressing the critical areas of students' prior learning, current performances, amount of engaged time, and opportunities to learn the content they will be tested on. In short, teachers plan, manage, and instruct in their leadership roles.

Principals also follow a three-phase strategy--planning curriculum and instruction schoolwide, training teachers, and supervising teachers. This model reflects the direct interchange of information between principals and teachers, and between teachers and classrooms, but it also shows the principal receiving information directly from classroom and teachers. Moreover, this model assumes the principal affects the classroom only indirectly, through the teacher. Districts also affect students and teachers but generally exchange instructional influences via the principals. In this model, districts supervise principals through a plan-train-supervise model.

Thus, this model advocates an instructional leadership program that includes the social influences surrounding instruction, urging a districtwide three-tiered commitment to improve student achievement.

Hallinger, Philip, and others. "School Effectiveness: Identifying the Specific Practices, Behaviors for Principals." *NASSP Bulletin*, 67, 463 (May 1982): 83-91. EJ 279 579.

In a model deduced from studies of effective schools, Hallinger and his colleagues have sketched a picture of instructional leadership in three general dimensions: defining the mission of the school, managing curriculum and instruction, and promoting an encouraging school climate. Defining the mission includes framing (that is, articulating and coordinating) the school's instructional objectives. It also involves communicating the goals to the staff, both formally and informally. Such goals

are made visible by a principal's actions on critical issues during the school year--staffing, resource allocation, and the staff's professional development, for instance.

To manage the instructional program, a principal must apply his or her knowledge of curriculum and instructional techniques to supervise teachers, coordinate class offerings and general curriculum, and monitor student performances. Mastery learning strategies and direct instruction models of teaching give principals systematic frameworks for monitoring and evaluation.

Although principals are only one of many influences on a school's climate, they can take action in three areas to encourage learning and set the tone for learning throughout a school: establishing high expectations for students, protecting learning time from intrusions and distractions, and promoting teachers' professional development.

Harris, Ben M. *Supervisory Behavior in Education*. 3rd ed. Englewood Cliffs, New Jersey: Prentice-Hall, 1985.

Harris identifies ten tasks of instructional supervision, dividing them into three task areas. The *preliminary tasks* involve developing curriculum, providing facilities, and providing staff. *Operational tasks*, those concerned with ongoing instructional programs, require organizing instructional staff, orienting staff, providing materials, arranging special services for pupils, and involving and informing the community. *Developmental tasks* consist of the work needed to improve an existing instructional program: arranging for inservice training of instructional staff and evaluating instruction. The core tasks in instructional supervision, however, are limited to five--staffing, curriculum development, materials development, evaluation, and inservice education.

To illustrate the dynamics of supervision, Harris's systems model includes the five core tasks in an "instructional operations system." These tasks are the processing part of the model, between the input and the outcomes. The input is provided by policies and regulations provided by multiple layers of school authorities, and the output by students' learning achievement. The learning outcomes, in turn, affect the policies and regulations, as does the process of instruction (feedback from teachers).

Keefe, James, and Jenkins, John, eds. *Instructional Leadership Handbook*. Reston, Virginia: National Association of Secondary School Principals, 1984. 176 pages. ED 251 936.

To help secondary school principals keep abreast of instruc-

tional activities in diverse areas of their schools, this NASSP guidebook uses expert authors who comment on the areas of the instructional program that are most likely supervised by the principal. It may thus be used to shed light in corners that may be dark and mysterious to some principals who oversee academic programs.

The editors divide the domain of instructional leadership into four primary tasks: formative (that is, self-developmental), instructional planning, implementation of planned programs or changes, and ongoing evaluation of student achievement and school characteristics. Their topics include the role of teacher supervisor as well as essential questions and research findings on such diverse topics as school attendance, development of curriculum guides, performance standards, trends in ten content areas, trends in organization and staffing, and trends in media and teaching methods.

Kroeze, David. "Effective Principals as Instructional Leaders: New Directions for Research." *Administrator's Notebook*, 30,9 (1983): 1-4. EJ 298 025.

Kroeze's review identifies the central problem in using effective schools/effective principals research for strengthening principals' instructional leadership: it is difficult to translate research findings into information useful for working principals.

He first summarizes what the research has shown to be the salient behaviors of successful principals. They are successful in setting goals, coordinating and organizing programs, using the school's decision-making process, and relating to staff and students. But descriptions do not always make helpful prescriptions. Thus, school leaders need models for instructional leadership that bridge the gap between research and practice.

Essentially, there are four problems with research that prevent it from addressing principals' real needs. First, researchers too often have settled for vague descriptions of leaders' successful behaviors; future research would help practitioners by being more specific. Second, the question of how principals affect student learning remains vague. Can the principal actually do something to affect student performance? Another uncertainty lies in identifying those factors that influence principals to be effective instructional leaders. For instance, are personal characteristics the only or the primary answers? Finally, research studies have often wrongly assumed a top-down structure of schools' decision-making structures, with the principal making the decisions and the staff falling in line passively. Such a naive organizational model also must be reformed before it will be useful in most schools.

Not content with identifying the gaps in research, Kroeze also cites three recent models of instructional leadership that offer help to practitioners. The model developed by Steven Bossert and his colleagues addresses the problem of vague descriptions of behaviors, the effects principals may have on learning, and those factors influencing principals. A model developed by Caroline Persell focuses on the complexities of an interactive school environment, including principal's effects on students and the many influences on instruction. A third model, developed by Leithwood and Montgomery, contributes to clarifying what instructional leaders can do and what the outcomes might be.

Leithwood, K.A., and Montgomery, D.J., "Patterns of Growth in Principal Effectiveness." Paper presented at annual meeting of the American Educational Research Association, New Orleans, Louisiana, April 23-27, 1984. 71 pages. ED 246 526.

Leithwood and Montgomery cast research findings on effective principals into a theory of cognitive information-processing. They focus on goal-setting, the areas of instructional management available for principals' intervention (eighteen in all), the strategies needed for active interventions, and the process of decision-making used by principals.

Leithwood, K.A., and Montgomery, D.J., "The Role of the Elementary School Principal in Program Improvement." *Review of Educational Research*, 52,3 (Fall 1982): 329-39.

This study accomplishes an extensive review of research on the topic of principal effectiveness--typical roles vs. effective principal behaviors, and obstacles to effectiveness. The authors emphasize the differences in methodology among various studies, trying to determine which research can most reliably be used to construct a clear model of what effective principals actually do. In fact, they aim to construct an unambiguous model of principal effectiveness that may be used as a basis for practical application and further research.

From interviews with twenty-three principals, Leithwood and Montgomery developed three categories of common principal behaviors: (1) activities regarding goals for the school, (2) actions affecting either students' classroom experiences or their schoolwide experiences, and (3) strategies to bring about improvements. They then examined thirty-nine research studies, gleaning findings relevant to each of the three categories.

The authors also compared methodologies of research studies to avoid the possibility of biasing findings. They found that ethnographies, interview studies, and large questionnaires

probably most accurately reflect the range of typical principal behaviors and daily problems. Effectiveness, though, is probably best measured through student achievement--a variable so far seriously considered only in *school-effectiveness* research, rarely in principal-effectiveness studies.

Having established methodological considerations, Leithwood and Montgomery next examine the three categories of effective behaviors. Goals, it is found, are concerned primarily with promoting students' cognitive growth--the same concern of teachers in making curriculum decisions. Even principals' relationships with teachers, community, and school district revolve around fostering student growth. Effective principals also influence classrooms and the entire school by trying to enhance instructional objectives: matching students and teachers, identifying classroom priorities and methods, providing interest in learning outside the classroom (involving the community, as well).

Finally, the strategies that effective principals use are not limited to interpersonal cooperation, which is viewed as an instrument for goal achievement rather than as an end in itself. Other strategies may involve shared decision-making and the clinical supervision of teachers.

Lipham, James M.; Rankin, Robb E.; and Hoeh, James A., Jr. *The Principalship: Concepts, Competencies, and Cases*. New York: Longman, 1985.

Lipham and his colleagues contribute to instructional leadership models in two parts. They provide a four-factor theory of educational leadership styles and also a model of instructional change that leaders can undertake. (They do not, however, seek to integrate the two into a synthetic model. Such a synthesis is indeed the challenge in instructional leadership models: correlating leader behaviors with evidence of instructional improvement.)

The Lipham-Rankin theory of educational leadership (chapter 3) distinguishes four modes of leadership: structural (emphasizing clear and emphatic decisions and school cohesion), facilitative (helping to get the instructional work done by easing the non-instructional tasks of teachers), supportive (providing encouragement and reinforcement to enhance morale), and participative (fostering group processes and emergent leadership among teachers). When principals include all four leadership styles in their repertoires, adapting them to the schools' unique needs, staff satisfaction and effectiveness both improve. The authors suggest that facilitative leadership is the most effective foundation for leadership, the other three modes being complementary.

Their four-phase plan for instructional improvement (chapter

6), however, would conceivably employ all the leadership styles mentioned. Phases one and two of the plan first involve assessing program objectives by matching ideals to needs; then, program improvements are planned in detail. The third phase is to implement the changes in the program by providing for instructional programming and motivating the staff and community. Finally, the outcomes of the program are evaluated and matched against the hopes, stimulating replanning.

Morris, Van Cleve, and others *The Urban Principal: Discretionary Decision-Making in a Large Educational Organization*. Chicago: University of Illinois at Chicago Circle, 1981. 239 pages. ED 207 178.

The authors studied sixteen principals in the Chicago area, using an ethnographic approach to discover the areas in which principals can normally use their discretion in making decisions. They limited their investigation to four areas of decision-making activities: those regarding their school colleagues, the community outside the school, the school district central office, and, finally, themselves as professionals.

They conclude that, although principals affect learning outcomes primarily through school climate, the principals' roles involve balancing two (apparently incompatible) demands: maintaining organizational stability and improving the environment. As the instructional leaders, principals balance pressures for upgrading staff quality with the need to prevent conflict with teachers. Principals avoid the most troublesome demands by concentrating on three leadership areas: communicating their expectations for staff performance, protecting teachers from undue external pressures from parents or central office staff, and establishing a reward system for cooperative behavior. Protecting the instructional process from interference, they found, was probably the most significant instructional leadership function, followed closely by providing needed materials.

Murphy, Joseph, and others. "Instructional Leadership: A Conceptual Framework." *Planning and Changing*, 14, 3 (Fall 1983): 137-49. EJ 288 154.

Part of the School Effectiveness Program of the Santa Clara County (California) Office of Education, this model divides a principal's instructional leadership into three general areas: activities, functions, and processes. *Functions* include ten kinds of actions that instructional leaders perform, according to the literature. These functions are the "what-to-do" phase of this model: (1) framing school goals and objectives, (2) developing and promoting expectations, (3) developing and promoting standards, (4) assessing and monitoring student performance, (5) protecting

instructional time, (6) knowing curriculum and instruction, (7) promoting curricular coordination, (8) promoting and supporting instructional improvement, (9) supervising and evaluating instruction, and (10) creating a productive work environment.

How effective instructional leaders perform these functions comprise the areas called *activities* and *processes*. Research agrees that principals can function formally through schoolwide policies, generally accepted practices, or more informal personal interactions--methods that Murphy and his colleagues call *activities*. Moreover, instructional leaders use certain *processes* (corresponding to Leithwood and Montgomery's "strategies") to lead a school's instructional staff, including varieties of conflict resolution, communication, group processes, decision-making, change processes, and interactions with people and institutions external to the school (community, parents, or government).

Although less successful as a way of relating these three dimensions, the model does provide a way of understanding the options available to instructional leaders. It may thus help to clarify goals and options for achieving them.

Murphy, Joseph F., and others. "Academic Press: Translating High Expectations into School Policies and Classroom Practices." *Educational Leadership*, 40, 3 (December 1982): 22-26. EJ 272 636.

"Academic press" is the degree to which the school environment--school policies, practices, expectations, norms, and rewards--pressure students to work hard and do well academically. Various research studies have built evidence that school policies and classroom practices--both being variables controlled by instructional leaders--can convey expectations that raise student achievement.

Expectations are communicated to students via two areas of school policy. One area is in school functioning and structure: framing clear and attainable school goals; grouping students to convey academic expectations to them; protecting students' instructional time; and ensuring the orderly, safe environment required for learning. The second area conveying academic press comprises policies on student progress, such as the amount of homework generally required, grading procedures, monitoring of students' progress, remediating students without abandoning them, reporting their progress, and providing promotion/retention strategies that emphasize eventual mastery of goals.

Given these influences, a model of high expectations is created, showing how the belief structures of principals and teachers generate an awareness of their responsibility for student learning. With this *a priori* commitment to students, leaders can establish policies for the whole school and for each individual

teacher that promote academic press. Such coordinated policies have been shown to raise schoolwide norms, as well as to improve students' beliefs in their ability to succeed academically and in the value of hard work in school.

Newberg, Norman A., and Glatthorn, Allan A. *Instructional Leadership: Four Ethnographic Studies on Junior High School Principals*. Philadelphia: University of Pennsylvania, 1982. 319 pages. ED 236 808.

The researchers studied four junior high schools in southeastern Pennsylvania for answers to two questions: In what ways does the principal provide instructional leadership? and What other sources of leadership develop when the principal does play an active or directive role? Over a seventeen-week period, data were gathered via ethnographic observation and interviews. Two surveys were given at the end of the study to provide quantitative assessments of staff perceptions. One of the surveys, the Sources of Instructional Leadership (SOIL), identifies thirty-one instructional leadership functions. Its purpose was to determine whether staff members other than principals were fulfilling any of these functions unofficially.

Researchers found that the four junior high principals studied did set academic goals but rarely followed them up, being concerned primarily with discipline. Sustained efforts in instructional leadership were often provided by a vice principal or department chairperson.

Ohio State Department of Education, Division of Equal Education Opportunitles. *The Ohio Academy for School Improvement Strategies*. Proceedings of a conference, Columbus, Ohio, July 16-20, 1984, and July 30- August 3, 1984. 127 pages. ED 255 589.

Participants in the OASIS conference (Ohio Academy for School Improvement Strategies) identified three areas for improvement that they perceived in their experiences as school administrators: planning and developing the curriculum, becoming knowledgeable about curriculum changes, and understanding mastery learning and competency-based education. In small-group sessions, participants were given the task of defining and describing the key areas that a principal must address as an instructional leader and the characteristics of an effective instructional leader. They concentrated on the primary roles of curriculum coordination, assessing student progress, and observing and supervising teachers.

Pendergrass, R.A., and Wood, Diane. "Instructional Leadership and the Principal." *NASSP Bulletin*. 63, 425 (March 1979): 39-44. EJ

Pendergrass and Wood offer a model for better instructional leadership that they call Planned Instructional Emphasis (PIE). Planning, the first portion of the leadership process, involves assessing the values and learning characteristics of a school, then setting goals for the curriculum. A second concern is in the mechanics of instruction, that is, the classroom activities of teachers and students. Pendergrass and Wood stress that principals as instructional leaders should provide the standards for teachers and students. Finally, a third stage of the leadership process, termed "emphasis," includes the leader's evaluation of the instructional processes--the degree of students' success, the teachers' concerns, and the areas ripe for improvement.

Putting this systems model into action, they hold, requires a repertoire of leadership techniques. Each stage of the instructional leadership process, for example, could be made clearer by questions that diagnose needs: How can we build community consensus on the best kind of instructional program? How are students, teachers, and resources interrelating in the classroom, and how satisfactory are these dynamics? How could we improve the learning and teaching environment? These questions--three among many possible questions--reflect, respectively, the planning, instructional, and evaluative phases of the model.

Persell, Caroline Hodges. "Effective Principals: What Do We Know from Various Educational Literatures?" Paper presented at the National Conference on the Principals, October 20-22, 1982. ED 224 177.

Persell provides a critical analysis of school-effectiveness literature to find the underlying assumptions about effective principals, and then she proposes another, more justifiable model of instructional leadership. She finds that the effective-schools studies (up to 1982) tended to agree on the general characteristics of how effective principals act. The nine points of general agreement that she found read like a litany of administrative virtues: Effective principals generate a school consensus on and commitment to academic goals; create climates of high academic expectations and mutual respect; display effective instructional leadership, personality traits, and interpersonal styles; facilitate learning objectives by maintaining order; control the organization in order to reach goals; use and promote effective use of time; and monitor and evaluate progress toward the goals.

The model underlying most effective-schools studies, she finds, is the systems theory model of input-process-output: a principal's behaviors are put into the school instructional context and those behaviors produce the outcomes (that is, what we

can observe in teachers and students). This model carries several fatal assumptions, though, particularly the ideas that research has successfully related principals' behaviors to school achievement (actually, principals' behaviors are only *correlated* with outcomes in most studies) and that the principal is the only person in schools who initiates anything. Furthermore, the input-output model suggests that there is one best way to approach leadership (that a predictable input will produce a predictable output) and that pupil achievement is best defined through results on standardized tests, regardless of a school's curriculum focus or of other, less neatly measured, indicators of improvement.

What is missing in this view, according to Persell, is acknowledgement of a school's external influences (parents, government programs, community relations) and the "mediating processes" within a school that stand between a principal's intentions and the actual results. There are, in fact, a very wide variety of catalytic processes inside the school: school culture, teacher's union, students' interests and behaviors, and informal alliances among teachers, to name a few. Thus, Persell proposes a model that incorporates the social contexts outside the school and the principal's personal characteristics--with both factors affecting a principal's decisions, plans, and actions. In this view, principals' behaviors may be altered by factors within the school before they eventually become observable in teacher or student behaviors. The model shows how the external contexts and principals' characteristics affect principals' behaviors; these behaviors, in turn, are mediated by processes at work within the school before any evidence of actions comes out in student achievement.

Russell, James S., and others. *Linking the Behaviors and Activities of Secondary School Principals to School Effectiveness: A Focus on Effective and Ineffective Behaviors.* Eugene, Oregon: Center for Educational Policy and Management, University of Oregon. June 1985. 55 pages. ED 258 322.

The authors link specific behaviors of principals to the characteristics of effective schools. They list behaviors that principals could consider effective and also those that they should avoid. Of the eight characteristics of effective schools that structure the report, instructional leadership for teachers includes five effective behaviors and five ineffective. The effective behaviors include principals actively initiating and guiding inservice training, helping teachers improve their instruction, providing direct support (one-to-one) for individual teachers, making sure that teachers are evaluated, and hiring effective teachers. (Ineffective behaviors are the converse of effective behaviors.)

Although this view of instructional leadership is far more

restrained in scope than that of much other research, Russell and his colleagues address other areas of leadership responsibilities that relate to instructional duties, for instance, maintaining an orderly school environment, establishing high expectations and clear academic goals, and collaborating with staff to plan instructional programs.

Snyder, Karolyn J. "Instructional Leadership for Productive Schools." *Educational Leadership*, 40, 5 (February 1983): 32-37. EJ 276 375.

This chronologically sequenced model of an instructional leadership process, based on the school year (September-May), embraces three major phases: planning, developing, and evaluating. The planning phase, scheduled from September to October, begins with schoolwide goal-setting, then proceeds through the forming of teacher teams or task forces to implement the goals and performance plans for individual teachers. Thus three levels of goals are involved--schoolwide, group, and individual.

The bulk of the school year, then, is spent in developing the skills necessary to meet the goals. Such development is brought about through clinical supervision of teachers, staff development programs, curriculum improvements, ongoing monitoring of goal directions among staff, and priorities for resource allocation. Finally, in April and May, the school enters the assessment phase. This final stage leads directly into replanning to improve weaknesses and capitalize on strengths for the following year.

Stallings, Jane A., and Mohlman, Georgea G. *School Policy, Leadership Style, Teacher Change, and Student Behavior in Eight Schools. Final Report*. Mountain View, California: Stallings Teaching and Learning Institute, September 1981. 131 pages. ED 209 759.

Examining the correlations between school instructional policies and instructional outcomes, the authors studied eight secondary schools (with 602 students and 43 faculty) in an attempt to link learning climate with the clarity and enforcement of policies, the administrative support services available, classroom interruptions, and principal leadership styles.

Their correlations led to several findings about learning environments and leadership behaviors. They found that students were absent less frequently in schools with policies that were collaboratively developed, clear, and well communicated. Teacher and student morale improved in schools where principals were seen as being respectful, collaborative, careful about clarifying school policies, and effective in providing necessary instructional materials and support services.

Where principals met with teachers frequently, students misbehaved less, were on task more often, and had lower absence rates. Where staff understood school policies more clearly--largely the result of regular, interactive staff meetings--student morale and behaviors were more appropriate. Inservice training was most effective when principals provided clear, consistent policies and were supportive of teachers' improvements.

Wellisch, Jean B., and others. "Management and Organization in Successful Schools." *Sociology of Education* 51, 3 (July 1978): 211-226.

Wellisch and her colleagues studied twenty-two elementary schools to find whether school management and organization differed between successful and unsuccessful schools. They found five differences in the more successful schools (those that had raised achievement levels under their present administrators). In each of these schools the administrator was (1) highly concerned with instruction, (2) communicated their views openly about instruction, (3) took responsibility for decisions relating to instruction, (4) coordinated instructional programs, and (5) emphasized academic standards.

Moreover, the principals who were more concerned about instruction opposed relaxing standards for low-achieving students and tended to have failing students repeat grades. Integral to effective leadership, however, may be that these administrators regularly reviewed and discussed teaching performances with their teachers.



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