

The FIRO Administrator: Theory, Criteria, and Measurement of Effectiveness

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The FIRO theory of interpersonal behavior provides a framework for clarifying the administrator role, for measuring effectiveness, and for synthesizing previous studies of administration. Effective FIRO administrators excel in their use of human resources, their task ability, and their interpersonal skills. They create conditions under which individuals within their ken realize themselves optimally.

What is a good administrator? How can administrative effectiveness be measured? Educational administration will be used to explore these questions. However, the concepts are equally applicable to any area of administration.

Clearly, there are many ways to answer these questions, depending on the theory of education and the theory of administration underlying the answers. If most of us feel that loyalty and discipline are the primary aims of education, for example, then our measures of administrative effectiveness will assess these traits in graduates of the school system. If development of vocational skills is felt to be the aim, then job placement is measured.

Throughout this review, as various aspects of administrative behavior are explored, a theory of educational administration will be developed based on a theory of education.

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Studies of administrative performance may be classified into the following types:

1. *Character trait*: studies that focus on individual properties of administrators as predictors of administrative performance.
2. *Group factors*: studies that focus on the interplay of factors present in the group situation as determinants of administrative behavior.
3. *Role expectation*: studies concerned with internal attitudes and perceptions of both leaders and followers and with the relation of these attitudes to administrative success.
4. *Organizational models*: studies that concentrate on forces within the total organization to gain an understanding of the actions of administrators.

Character Traits

After scanning the literature for a summary of leadership behavioral traits, Gibb (1954), drawing chiefly from Stogdill (1948), listed the following: physical and constitutional factors (height, weight, physique, energy, health, and appearance); intelligence; self-confidence; sociability; will (initiative, persistence, ambition); and surgency (geniality, expressiveness, originality). He emphasized, as did Stogdill and most other studies, that different leadership characteristics are needed in varied situations.

Stogdill drew up a listing of the major criteria that had been used up to 1948. Fifteen studies substantiated traits that leaders and administrators possessed in greater degree than average group members, in most cases: intelligence and scholarship, dependability in exercising responsibility, activity and social participation, and socioeconomic status. Ten studies added sociability, initiative, persistence, self-confidence, popularity, ability to adapt, and verbal facility. Stogdill then divided these characteristics into general categories: capacity, achievement, responsibility, participation, status, and situational factors.

Borg, Burr, and Sylvester (1961) combined characteristics from thirty-five different studies of educational administrators using four functional criteria: ratings of principals by superintendent; anonymous teachers' ratings; independent observers' ratings; and principals' self-ratings. Common variables, which differed slightly for each educational criterion, were personality, administrative ability, general knowledge, professional knowledge, cooperation, tact, stimulation of co-workers, social activity, good judgment, originality, communicativeness, forcefulness, physical character, and attitude toward teachers.

Several studies have been made that used various research and questionnaire formats to choose the working criteria for their studies. At the University of Tennessee, Kimbrough (1959) devised the Tennessee Rating Guide. On the basis of the ratings of forty-eight high school principals in

the area, characteristics of effective and ineffective administrators were delineated. The major criteria were good interpersonal relations; dependability; good decision making and problem solving; inclusion of others in policy formulation; intelligence; and the study of new educational techniques.

Using the guide, which had been established according to these a priori criteria, professors of administration at the University of Tennessee were asked to select three competent superintendents, who in turn used the guide to rate the least and most efficient administrators in the region. Kimbrough's a priori criteria were found satisfactory, and he notes that he found that those administrators with the proper behavioral characteristics correlated most highly with those individuals who consistently furthered their factual knowledge of the administrative field.

In the Wisconsin Studies of the Measurement and Prediction of Teacher Effectiveness, Barr et al. (1961) devised three criterion types: efficiency ratings, pupils' gains, and pre-service evaluation. The latter included: skills and attitudes, personal prerequisites, interpersonal needs, educational objectives and means of achieving these objectives, and guidance and evaluation skills. The rating based on these criteria consisted of fourteen questions about personal qualities, ten about competencies, an examination of the effects of the teacher's leadership (through standard achievement tests administered to the pupils), and a fourth area of "behavioral control"—rating of specific knowledge, generalized skills, and attitudes and ideals.

Grobman and Hines (1956) stated that effective principal behavior has a high correlation with democratic conduct. They asked eighty principals how they operated in eighty-five different school situations and then sorted the responses, distinguishing between those who operated democratically in more than half of the situations from those who did not. The responses were then reviewed by ten professors of administration from the University of Florida, who found that the most effective solution in each situation correlated highly with democratic behavior. Grobman and Hines also found that although the principals' behavior had strong effects upon teacher, student, and community attitudes toward the school, it did not affect subject matter or teacher-pupil relationships.

Several investigators have created categories of educational leadership for their own investigations. Harrell (1964) conducted an experiment in leadership behavior in a group-problem situation. Members of each five-man group were participants in an executive development program; all had taken the Stanford Management Potential Test Battery, which was used as a predictor of leadership and for assessment of the reliability of observed ratings. Two graduate students in psychology observed the behavior of each group and gave individual leadership ratings on best ideas, guidance of the group, best decisions, amount of participation, liking, and enjoyment of the group.

Platz (1960) devised a chart of the varied roles, skills and abilities, and types of knowledge necessary to an effective secondary school administrator. The major roles of the leader were shown to be in the areas of leadership, participation, management, and liaison and public relations.

Newell (1962) rated leadership criteria, in order of importance, as (1) effective leader, experienced in leadership and individual appraisal; (2) responsibility; (3) knowledge, technical and general, of the various educational disciplines. Hines (1961) presented a lengthy situation check list of desirable leadership characteristics to parents, teachers, and students concerned with one Florida school. He found the most prominent characteristics to be group leadership ability, democratic and consistent behavior, and knowledgeable ability. Wetzler (1955) viewed administration in terms of five roles: (1) educator, (2) administrator, (3) personnel administrator, (4) public relations administrator, and (5) business administrator.

Anderson and Davies (1956) formulated an evaluative scale for patterns of educational leadership. It consisted of the following items: (1) sees education in relation to society at large (incorporating interpersonal democratic values); (2) has a balanced view of education in the professional sense (decision making, knowledge of community and teaching matter); (3) is a specialist in the processes of administration (problem solving); (4) is a robust, healthy person; (5) has superior mental ability; and (6) is emotionally and socially mature.

Teachers evaluated their leader after a principal, Gilbert R. Weldy (1961), issued an anonymous check list to them. The criteria they found most important were (1) democratic behavior; (2) free opinion and judgment, and correction of teachers' faults; (3) clear policies; (4) frequent meetings; (5) efficient administrative organization and discipline; (6) duty delegation; and (7) community representation in policy making.

Group Factors

To describe the emergence of effective leadership, another set of investigations focused more on relations between group members and leaders than on personal traits of the leader alone.

Stogdill (1948), in some of the most comprehensive theoretical work in this area, built upon his leadership characteristics by creating the initiation-consideration rating for effective groups. It is clear from this study that the ability to show active consideration of others and initiate group interaction in that particular group situation is more important to leadership than having specific personality traits. Thus, a list of desirable behavioral characteristics is a less consistent measure of the effective leader because, in each situation, it is likely that different qualities will be most successful in mobilizing group members. The characteristic needs of each member of the group are as important in determining whether or not the group will be effective and which individual will be most successful in leading the group as are the particular characteristics that make one person the administrator or leader. The several other broad definitions of the leadership function, those defined in terms of sociometry, influence and control, and group progression or syntality, would seem to take account of the preferred personal traits of the potential and likely leader, but incorporate these into a

broader structure that measures the administrator in terms of his effect upon the group.

Redl (1942), in a classic paper, reviewed Freud's definition of leader, role, and group emotions. He showed that there are constituent emotions that each member brings to the group situation and secondary emotions that are stimulated by the group. The latter contribute directly to the leadership function. The leader is the "central person" around whom the group formative processes develop. Redl defined ten basic functions that the leader can perform, such as a source of identification for group members, an object of majority emotional drives, a stimulant (ego support) for these drives, and a common conflict solver.

Many studies have developed from Barnard's (1938) distinction between "efficiency" and "effectiveness." Sharp (1962) clarified these as (1) efficiency in goal achievement and (2) effectiveness in satisfying the social and emotional needs of the group. In the informally structured group studies, more emphasis is placed on this second criterion. Group members are no longer simply tools for achieving a goal, but must be satisfied interpersonally as a part of the leader's task. Stogdill (1948) constructed two primary criteria for testing these two factors of the successful group: (1) consideration of others and (2) initiating structure in interaction. Although one criterion pertains more to task accomplishment and the other to individual need satisfaction, both are highly correlated with the successful interpersonal relationships between group and group member and between leader and group members. Stogdill and Shartle (1948) indicated in their study that, because research must be conducted within the interpersonal situation from which leadership evolves, concentration must be used primarily to find the relationships between jobs that leaders do, since "leadership is the process of getting things done." From this, selection criteria can be developed. Distinctions among various studies cannot be easily drawn. Some concentrate more on need satisfaction, others on goal satisfaction, and others on goal accomplishment of leader and group.

Halpin (1958), Taylor, Crook, and Dropkin (1961), and Campbell and Lipham (1960) have all utilized Stogdill's hypothesis in studies similar to the original one. Halpin and Winer (1957) tried to find the most influential leadership characteristics. They determined a priori dimensions and reduced these to four major functions. A number of airplane commanders rated the importance of the four variables. Their findings were that consideration was the most important trait, followed by initiating structure, production emphasis, and sensitivity (social awareness). In an Ohio State study, Halpin (1956) substantiated Stogdill's findings that the most effective leaders functioned well in both categories. Halpin also used Stogdill's Leadership Behavior Description Questionnaire (LBDQ) as a test of democratic leadership based on two criteria. Taylor, Crook, and Dropkin (1961) utilized a form of the LBDQ. They observed thirty-seven students who participated in two thirty-minute, six-man discussion groups over a period of two years. They were joined by selected members of the faculty, who were trained in the method

of the study before observation, but who judged the students independently. Each student was rated on "initiates structure" and "shows consideration." They introduced a subdivision of the first criterion, "influences structure in interaction," but this was rated far less reliably from one meeting to the second than were the basic criteria. Campbell and Lipham (1960) used Stogdill's studies of character traits such as capacity, achievement, responsibility, participation, and status and situational factors, but seemed to emphasize the initiation criterion more strongly. As the primary characteristics for effective leadership, they listed: (1) facilitating development of group goals and policies; (2) stimulating the development of appropriate programs; and (3) procuring and managing personnel and material.

Hemphill (1961) viewed administration as a problem-solving function. Through this process, according to Hemphill, the leader may take the initiative in structuring group interaction. On the other hand, Griffiths (1959) viewed decision making as a central function of the administrator. He saw the decision as closely correlated with the action itself and more goal oriented than the problem situation. Concentration on two different areas—task accomplishment and need satisfaction—is evident from these two studies.

Role Expectation

In these studies, not only the actual function that the leader performs but the group members' perceptions of what he is doing were important. Bass (1961) stated that the leader is able to cope with the group's problems. Success depends on (1) the group members' perceptions of the situation, (2) the trainer's powers of coercion, (3) his ability to persuade others of leader value and capability, (4) his knowing when to restrict, and (5) his knowing when to be permissive.

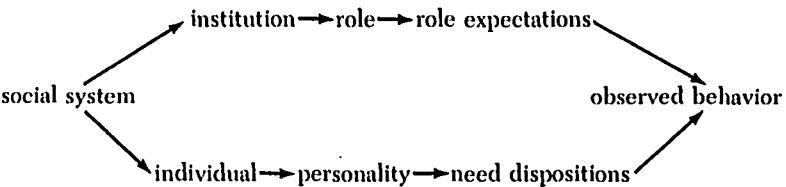
Criswell's study (1961) was based on sociometry. She agreed that task accomplishment and satisfaction of interpersonal needs comprise group effectiveness. In establishing a pattern of leader choice, however, she alluded to Moreno's concept that the leader is chosen by "influence transmission" (Moreno, 1932). The leader, or administrator, is chosen by a large number of people or is a frequently chosen person. In the same vein, she referred to Fiedler (1958), whose many intriguing experiments led him to the view that "socio status" and "psyche status" (need satisfaction, role perception) must be found together in the most effective leader.

Hollander (1961) concentrated largely on goal accomplishment. The two most important characteristics of the leader are (1) competence in the group's central job or "task competence" and (2) active membership in the group as perceived by the other members. He hypothesized that by performing as a member of the group, the potential leader builds up "idiosyncrasy credits" and may then attempt to innovate and challenge the established patterns of the group. According to Hollander, to assume this leadership role, a person needs social perception and the ability to modify his behavior.

In another study, Hollander (1961) divided 187 cadets into eight sections and asked them to nominate three potential leaders for a hypothetical dangerous mission. He then asked each cadet to presume that he was a leader and asked which three followers each would be most likely and least likely to select from the group. This measure showed definite indications that the good leader is often selected as a good follower.

Hollander also checked his "idiosyncrasy credits" hypothesis by using a group situation. In several groups of five individuals each, the nonconformer who tried to take on leadership functions early in the sessions lost any influence he had had previously. The late nonconformer was able to challenge majority ideas, to encourage others to disagree, to talk out of turn, and so on.

Hills (1964) viewed the administrative process as mediation between institutional expectations and personality needs. Criteria of effective and efficient leadership must, therefore, include behavior relevant to the expectations of the observers. The best leadership is a compromise between the institutionally oriented and personally oriented patterns. Hills clarifies this with a diagram:



Roff (1950) had a different approach to the frames of reference rating. He used two different groups with the same rating scale. He took pilots of different ranks and had them rate each other on competence in flying, fairness, courage, administrative competence, responsibility, and likeability. Superiors rated their subordinates and vice versa. Roff found the greatest discrepancy on the interpersonal level, where superiors were rated lower than their subordinates.

Stogdill and Shartle (1948) did a study similar to Roff's. Twenty-four officers of the Naval Command Staff rated the persons with whom they worked and themselves on an RAD index (responsibility, authority, and delegation). The officers were also rated by observers on sociometric type, level in the organization, and amount of time they spent with the members of the organization whom they had rated.

Organizational Models

Shartle (1961) said that in the interdisciplinary model of leadership, emphasis is placed on "the situation, the environment of organizations, and organizational values." He suggested that the reference points that must be

considered are (1) individual behavior, (2) organizational behavior, (3) environmental events, and (4) interactions of these three. He specified certain independent and dependent variables that may be utilized to judge the administrator's performance. Major variables that may be rated on the basis of the leader alone are value patterns; situational patterns; measures of aptitude, knowledge, and skill; measures of personality and interest; measures of physical energy and capacity; past individual and organizational performance; and task or problem assigned. Measuring these variables is simple compared to measuring those dependent variables that must be analyzed as part of the organizational process, where the leader's performance is largely dependent on the group and the task situation. These variables include: decisions made, ratings of performance, measures of attitude change, objective measures of performance, tenure and mobility, work patterns, leader behavior dimensions, sociometric ratings, and learning behavior.

Argyris (1961) also concentrated on the organizational structure as the most accurate, direct route to the proper role of the leader. He said that interactors' ratings of the leader cannot be measured accurately without an awareness of a strong tendency to identify organizational controls (requirements, restrictions, budgets) with the leader personally. Each of his criteria would figure, in other words, as one of Shartle's dependent variables. They include: awareness, control, internal influence, problem solving, time perspective, external influence, and organizational objective.

Roby's (1961) concept of leadership was similar to those of Shartle and of Argyris in that he saw the executive function as the "entire process by which group actions are selected from a pool of potential actions." He did not touch on personal or behavioral characteristics, but elaborated on group action as the clue to the leadership role. Roby hypothesized that each group action is composed of "action units"; this combination of acts he labeled a "response aggregate" (RA). The group's task is to select the most valuable RA, one which is most suitable to the group's environmental state. Thus, the leader's role is to (1) bring about congruence of goals and to emphasize existing congruences, (2) propel intelligent choice of RA's and keep a broad field of potential RA's—make sure that the group becomes committed to tasks only if group members have the skill and motivations necessary, (3) focus materials on decision-making processes, (4) provide information after structure is established, (5) make final decision, and (6) function as arbitrator. Roby said that "The ability of a leader to fill any breach in the executive process may be more significant than the particular functions he performs routinely . . . the latter can almost certainly be delegated or institutionalized." The need for this function, Roby said, implies a fault in the executive structure and, though necessary, this function is probably less effective than the routinized leadership functions. He added that "truly effective personal leadership depends upon its ability to recognize when its own operation is required; it depends equally on a readiness to surrender the reins when its purpose has been accomplished." Thus, according to Roby's definition of the executive structure, personal leadership must emerge only when

it is necessary to make an immediate or arbitrary decision. His view is similar to the "leader as completer" described later.

Bennis (1961), in a definitive essay on leadership theory, pointed out that organizational structure is necessary for self-assessment of administrative performance. He said, "The decision maker, then, faced with no operable means for evaluating a decision—as is often the case—and with limited data, has no other recourse than to utilize a group, both as a security operation and as a validity tester." The organization, or group in a smaller dimension, is utilized as a situational and measurement tool even when only the actual material goal is a basis for measurement of effective performance. It assumes even greater importance when the success of interpersonal relations within a group that is performing a specific task is also judged as part of the administrator's goal. Organizational theories do emphasize this group-development process in varying degrees. Bennis said that the function of authority is a combination of role and expertise and that the latter function may be further divided into knowledge of performance criteria and compatibility of human elements of administration.

ISSUES FOR ADMINISTRATIVE EFFECTIVENESS

Based on this review and on an exploration of the areas of education, administration, and organizational and interpersonal behavior, several issues emerged crucial to the theoretical and practical problems of assessing administrative effectiveness.

Number of Criteria

The search for a single criterion of administrative effectiveness is fruitless. In some cases, it is important for an administrator to be an educational leader; in other circumstances the primary requisite is the ability to persuade the community to vote for school bonds; at yet other times, the administrator must be able to supervise an extensive building program. Most people are adept at some of these functions and not at others. To call any one ability "the" criterion loses a significant differentiation. It is more useful to describe and measure several criteria for administrative effectiveness and then to determine which criteria are most important for each situational requirement. The research task is to investigate the main criteria used by, or useful to, those interested in administrative selection.

Results and Subgoals

The goals of administration are unique in their remoteness. A scientist's goal is a specific scientific achievement, a baseball batter's goal is to get a hit, and a plumber's is to fix a sink. For these occupations the goal is accomplished primarily by the direct application of one person's skills. Not so for

administrators. They must create conditions that result in a number of people functioning in such a way that an organizational goal is accomplished.

This difference leads to a special difficulty in assessing an administrator's effectiveness. A ball player either hits or not, a plumber fixes the sink or not. By and large, their success depends entirely upon themselves. But an administrator's success depends upon many factors other than his own personal talents. Industrial executives are successful if their firms show a profit; baseball managers, if their teams win; presidents, if their countries stay out of war and depression; and principals, if all their students realize their full potential year after year. The company's profit is a function of the state of the economy, the international situation, the competition, the amount of available capital, the reputation of the company's product, and so forth. The baseball team's success depends on the quality of players, the willingness of the front office to spend money for needed players or coaches, the support of the fans, and the history of baseball in the town. The achievement of the student depends on the help given him at home, his native ability, the intellectual tradition and educational level of the parents, and so forth.

The goals of education are often difficult to measure. The achievement, health, emotional stability, and happiness of each student are not easily amenable to direct assessment. To compensate for this difficulty, administrative subgoals and processes leading to educational success may be evaluated. For example, the principal's ability to motivate the community to support the schools is probably relevant to the accomplishment of ultimate educational aims. The subgoal as a measure of administrative effectiveness has the advantage of being a direct result of the administrator's actions and the disadvantage of having only an inferential relation to the ultimate goal of student performance. That is, it is not certain that schools in communities with well-motivated citizens will produce students who realize their potential, but it is assumed that this result is highly probable. Educational *results* are of greater importance, but *performance* is usually easier to measure and easier to use for assessing the administrator.

Delegation

The concept of leadership that best expresses the present view of administration is "the leader as completer" (Schutz, 1961a). This concept does not specify any set of behaviors as desirable for or defining of leadership. Successful leadership requires the ability to ensure that a group accomplishes its goal. Leadership functions are concerned with the total group operation and with assuring that all the specific functions necessary to accomplishing the goals of the group are being performed optimally. The role of leader or administrator requires (1) knowledge of necessary group functions, (2) sensitivity in perceiving which group functions are not being performed optimally at a given time, (3) ability to fulfill or to have someone else fulfill that need optimally, and (4) willingness to do what is necessary to satisfy these needs, even though they may be personally displeasing.

Administrators are considered effective if they recognize their own abilities and limitations and compensate for their limitations by delegating well. Delegation is one of the primary tools for accomplishing the goals of the organization (Dewey, 1922).

Difficulty

Some situations are more difficult for administrators to deal with successfully than others. To evaluate administrators fairly, it is necessary to take the realities of the total situation into account. If administrators are placed in a position where it is relatively difficult to accomplish school objectives, they should receive more credit for success than if they are put into a relatively simple position. Administrative performances can be compared to what would have happened had an "average" or "the best possible" administrator been on the job.

Frame of Reference

The multiplicity of criteria of effectiveness was considered earlier in terms of the many functions on which administrators may be judged. In addition, each function may be perceived from several different points of view and by a variety of people (Coladarci, 1955; Hollander, 1961). A superintendent, for example, may be rated high on administrative skill by school board members and low by teachers. It is not meaningful to look for which is "really" true. All perceptions are true in the sense that they are reported as seen by some person or group. Whether or not the perception is supported by outside evidence, the perception itself is an important consideration with respect to effectiveness. If members of a community perceive an administrator as inept, they may vote against a tax increase regardless of whether the administrator is "really" inept. Perceptions are realities.

It is quite possible that two different perceptions of the administrator are both supported by objective evidence. A principal may be very submissive to the superintendent and very domineering with teachers, leading to two contradictory, but accurate, descriptions of dominance behavior by two different perceivers. Because each perceiver observes different facets of the administrator's behavior, it would not be reasonable to expect high inter-rater agreement. Similarly, principals may exhibit different behavior when they are discussing a budgetary problem with their superintendents than when they socialize with community leaders, or discipline students, or supervise teachers.

Measures of effectiveness should specify not only the area of effectiveness being considered (educational leadership, organizational ability), but also the point of view from which the evaluation was made (the person or group making the evaluation) (Halpin, 1958).

A more specific statement of an effectiveness rating takes the following form:

Administrator A is rated E, relative to the best possible performance on function C, by person (or group) P, in situation S.

The most comprehensive evaluation of an administrator's total behavior includes perceptions of all persons in a position to observe significant administrative behavior. Such persons may be called the administrator's *interactors*. Interactors of school principals include teachers, parents, superintendents, school board members, community leaders, local building employees (secretaries, custodians, gardeners), students, other principals, supervisors, and central office administrators. In most cases, these interactors have an opportunity to observe some aspect of the principal's behavior, although the opportunity is limited for many, and some members of these interactor groups (inactive parents, for example) have virtually no opportunity to observe.

There remains a serious limitation to this method of assessment. A satisfactory rating from all interactors may mean simply that the principal is performing satisfactorily. What assurance is there that the principal is doing a good job by some "objective" or "absolute" standard? Certainly it is undesirable to limit this research project to maintaining the status quo or, at best, to raising all administrators to the level of the best existing ones.

One solution to this dilemma is to add another point of reference for the ratings contemplated. The new rating would compare the performance of a given administrator with some absolute criterion of administrative excellence. This rating could probably be made best by those people most acquainted with the absolute criteria—perhaps professors of educational administration. They could rate administrators on the basis of how closely they approximate the "ideal" administrator. This would constitute a criterion that would allow a research project directed at recommending administrators who might exceed the status quo. Up to now, all administrators could, theoretically, be rated lower than the ideal, even if judged to be the best administrators available.

A second solution is to discover or devise criteria that could be agreed upon as ultimate for the determination of an able administrator. This is perhaps not so unattainable as it may seem. After considering the aims of education, it may be agreed that the sole ultimate function of an administrator is to carry out, in the most effective way possible, the objectives of education. These objectives are often stated in terms of the impact of education on the child, the community, and society as a whole. It is important for investigators to be aware of such considerations when researching administrative effectiveness.

Values

The decision as to which criterion of effectiveness is most relevant for a specific case is the prerogative of policymakers, not research workers. At this point, the issue of values comes up. It is up to the members of the school board selection group to decide what they want in an administrator: a good

public relations person, an educational leader, someone who knows about building design, a good disciplinarian, or whatever.

The function of research is to provide reliable data from which these criteria may be obtained. If a board wants a person who will, for example, relate well to teachers, research results should provide the information necessary to maximize the probability that the board will select the person most likely to achieve this goal.

A researcher may be of additional assistance by pointing out that two of the board's criteria for its administrative candidates are in conflict. To use a hypothetical example, if the board asks for an administrator who will develop autonomous individuals among the students and who will run a sound, traditional Three-R school, a researcher can show that these two goals are generally in conflict and that, therefore, the board's requirements of the administrator are unrealistic and should be reconsidered.

If they feel that selection groups should always value a particular criterion more than others, the researchers have every right to try to influence boards to this end. However, in their role as researchers, this influence is limited to presenting evidence that if a particular criterion is used certain other desirable results occur. If they wish to go beyond such influence, they are, of course, free to do so, but they are then leaving their research role.

Aims of Education

As the above review indicates, the literature on administration and leadership is replete with lists of functions and different concepts of the leadership role. It is necessary to select from among the various approaches in order to provide a meaningful framework for the present considerations. The "leader as completer," as described by Schutz (1961a), uses the FIRO theory of interpersonal behavior to describe a comprehensive list of functions of a leader. This list derives from the assumption that a group has functions that must be fulfilled if it is to operate effectively and that the role of leader or administrator is to keep these functions operating effectively.

In considering the school administrator's functions, it is necessary to explore the general aims of education and the role of the school in achieving them. This provides a framework for describing the results that the administrator is expected to accomplish, assuming that all administrative efforts are aimed, ultimately, at attaining the goals of democratic public education.

The concept of education underlying the author's selection of effectiveness criteria may be outlined as follows:

1. A democracy's aim is to provide a form of government that will create conditions leading to the greatest amount of self-realization, satisfaction, and productivity for the greatest number.
2. Using the abilities of all citizens will lead to this goal most effectively.
3. Each citizen has the right to be free to determine his or her own

destiny and to be self-responsible to the maximum degree possible without outside interference, short of impinging on the rights of others.

4. Public education is aimed at the accomplishment of these goals.

5. The educational system should strive to create conditions that produce citizens who realize their potential as fully as possible. All the abilities to think, to know, to do, and to create should be developed to the utmost (Counts, 1954; Dewey, 1922).

6. Schools will achieve these goals if they produce students who realize their potential in the following areas, which define more specific educational goals: academic achievement, emotional adjustment, social adjustment, and physical health.

As Wilhelm Reich (1958) expressed so well:

The goal of democracy is to continually reduce the need for governmental or administrative interference and to steadily increase the power of self-management of social groupings by constantly removing the obstacles in the way of self regulation. . . . To secure the peace and the freedom and the facilities to get at the "obstacles in the way" is therefore the basic task of all research and social organization, be it in the combat of poverty, or desert, or in the overcoming of gravity.

SYNTHESIS: THE FIRO ADMINISTRATOR

The FIRO (Fundamental Interpersonal Relations Orientation) theory of interpersonal behavior (Schutz, 1966) provides a framework for integrating the results of these studies with our own personal experience in the areas of education, administration, and interpersonal relations.

FIRO theory states that an individual's interpersonal behavior is determined by needs in interpersonal areas called *inclusion*, *control*, and *affection*. These dimensions may each be considered for the levels of *behavior* and *feeling*; within each interpersonal area at each level, two aspects may be considered: *expressed* and *wanted*. "Expressed" refers to behavior or feelings an individual initiates toward others; "wanted" refers to behavior or feelings he wants others to express toward him. These dimensions give rise to twelve basic variables, represented in the cells of Table 1.

FIRO theory provides a framework for describing administrative functioning and for organizing the empirical work summarized above. Barnard's (1938) task-oriented and personal-oriented dimensions are paralleled by the FIRO variables of control and affection. FIRO theory indicates that one other area, *inclusion*, is required to make the classification complete.

The first area of administrative functioning is the *inclusion* of all the available resources for doing the administrative job. The various people and groups that may help administer a school or school district must be identified and developed optimally by the administrator. This area is called *effective use of human resources*.

Table 1. FIRO Theory Variables

	Behavior	Feelings
Expressed Inclusion	I make efforts to include other people in my activities and to get them to include me in theirs. I try to belong, to join social groups and to be with people as much as possible.	Other people are important to me. I have a high regard for people as people and I am very much interested in them.
Wanted Inclusion	I want other people to include me in their activities and to invite me to belong, even if I do not make an effort to be included.	I want others to have a high regard for me as a person. I want them to consider me important and interesting.
Expressed Control	I try to exert control and influence over things. I take charge of things. I tell other people what to do.	I see other people as strong and competent. I trust and rely on their abilities.
Wanted Control	I want others to control and influence me. I want other people to tell me what to do.	I want other people to feel that I am a competent, influential person, and to respect my capabilities.
Expressed Affection	I make efforts to become close to people. I express friendly and affectionate feelings. I try to be personal and intimate.	I feel people are likeable or lovable.
Wanted Affection	I want others to express friendly and affectionate feelings toward me and to try to become close to me.	I want people to feel that I am a likeable or lovable person who is very warm and affectionate.

Controlling these elements in such a way as to organize and integrate their contributions most usefully is the second major area of administrative functioning, called *task effectiveness*.

Creating a personal bond among the people involved in the educational enterprise is essential for the continuation of the coordinated activity required to run a school efficiently. Ability to create these successful *affectional* relations is called *interpersonal effectiveness*.

The areas of measurement of administrative effectiveness are *use of human resources*, *task*, and *interpersonal*.

The closest approximation to measuring the ultimate criteria of administrative success mentioned earlier is to measure the abilities of the administrator most likely to lead to the accomplishment of the ultimate goals. These are the administrator's ability to use available human resources effectively, effectiveness in the task requirements of the job, and interpersonal effectiveness, taken from FIRO theory.

Use of Human Resources

The human resources available to the schools include five major groups, each of which makes a significant contribution: (a) *community*, including parents and other citizens; they must cooperate with the school in every reasonable way that can be worked out collaboratively between school and community personnel; (b) *facilitating staff*, including administrators, business manager, custodians, secretaries, lunchroom workers, gardeners, other administrators, and nurses, must help to create an environment within which the best learning takes place, including maintaining an adequate physical plant, obtaining financial support, following administrative procedures that facilitate growth, contributing to the health of the students, etc.; (c) *school board members* must create conditions for maximal school growth (they are a special case of both community and facilitative staff); (d) *teachers* must be of the highest caliber available and teaching to the best of their ability; (e) *students* must do their best to learn up to their capacities (Campbell & Gregg, 1957).

Utilizing these resources optimally requires four steps: motivation, preparation, action, and feeling. To illustrate the operation of this process, the example of the community will be used. Parallel considerations apply to the other groups.

Motivation

The administrator must create conditions under which the community is motivated to cooperate with the schools, the staff is motivated to develop the most helpful and effective facilitating services, the school board wants to use its position to obtain the best educational program possible, teachers want to teach up to their capacities, and students are inspired to learn up to their capacities.

Preparation

Motivation alone is not sufficient, however. Once motivated, these groups must have enough preparation to know what to do and how to do it if the goals for which they are motivated are to be accomplished most effectively. Community members must be helped to understand the goals and needs of the school and to know the contribution they can make to their achievement. The staff must have access to effective methods of giving supporting services, such as maintaining the physical plant, communication procedures, accounting methods, and so on. The school board must be kept aware of important events in the school system and in education in general. Teachers must have access to the latest teaching methods and to training courses so that they may grow in ability and experience. Students must be taught how to learn so that they learn how to study, how to read, and so on.

Action

Even if people want to do something and know how to do it, they must have the opportunity, and the administrator must create that opportunity. The citizens must be allowed to cooperate and contribute to the schools. The staff must not be hamstrung by rigid regulations or by excessive supervision. The school board must be allowed to exercise its prerogatives in determining policy. Teachers must be allowed to teach, and distractions such as extensive extracurricular responsibilities, restrictions on teaching methods, and pressures from parents must be minimized. Students must be given the opportunity to learn, through reasonable class size, nonconstricting teaching, and a minimum of distractions.

Feeling

Finally, personnel related to the schools have the right to obtain a feeling of personal satisfaction from the schools. This is true for every social institution. Society presumably profits in the long run by educating children, but it is also important that citizens, staff, board members, teachers, and students find satisfaction from the school experience itself. If this were not desired from school institutions, society would be a place where everything is frightfully efficient but people are miserable. It is true that people will probably be more efficient when they are happy, but, in addition, it is simply an important goal of society for people to be happy (Argyris, 1957). Therefore, the administrator should create conditions that are personally gratifying to citizens, teachers, staff, and students.

The four steps required to produce optimal cooperation (motivation, preparation, action, feeling) are similar to those offered for social events (impulse, perception, manipulation, consummation) (Mead, 1938); individual functioning (Schutz, 1976); and the action of the body (tension, charge, discharge, relaxation) (Reich, 1973). Table 2 summarizes these dimensions for all five interactor groups.

Task Effectiveness

This section and the next one on interpersonal effectiveness involve assessment of the administrator's actual performance, rather than assessment of the result of his performance. The two major areas of performance are (1) task or problem-solving behavior and (2) interpersonal behavior. Some of the administrator's activity is directed at accomplishing the goals of the school and some at maintaining the school organization through promoting successful relations among the people involved in goal accomplishment.

Administrators may be evaluated by how well they accomplish their technical and administrative goals. Within administrators' jobs there are things they must know and do that are specifically administrative.

A survey of literature on the subject revealed six major areas of administrative skill:

Table 2. Mobilization of Resources to Accomplish School Goals

Group	Goal for School	Motivation	Preparation	Action	Feeling
Community	Cooperation with school	Want to cooperate	Know how to help	Be allowed to help	
Facilitating staff	Facilitation of teaching-learning activities	Want to aid teach-learn process	Know how to facilitate	Opportunity to facilitate	
School board	Establish and maintain quality educational program	Want to facilitate goal achievement	Know how to mobilize school and community resources	Be given necessary information and support	School is source of personal gratification in terms of personal recognition, meaningfulness, accomplishment and personal pleasure for all.
Teachers	Best teaching possible	Want to teach well	Know how to teach well	Conditions helpful to teaching	
Students	Best learning possible	Want to learn to capacity	Know how to learn	Be allowed to learn well	

Decision Making. Ability to make sound, well-thought-through decisions about all problems facing the administrator.

Organization. Ability to use school resources optimally.

School Maintenance. Ability to support and facilitate teaching-learning activities through procedures such as budget balancing, upkeep of school plant, scheduling of activities, dissemination of information, and selection of personnel.

Technical Knowledge. Knowledge of school law, school finance, school building, history of education, and other subjects basic to good decision making in educational administration.

Communication. Maintenance of open communication channels for the expression of opinion and feeling among school personnel.

Educational Leadership. Encouragement of further training and innovation in education.

Interpersonal Effectiveness

Administrators are successful interpersonally insofar as there is cooperation in accomplishing school objectives from the community, facilitative staff, school board members, teachers, and students. The focus is on what administrators do and feel in their interaction with people and on what other people do and how they feel toward administrators. The following is a list of the criterion of administrative effectiveness involving the interactors' perceptions of administrators' performance, both in their role as administrators and as human beings.

Trait Satisfaction. The simplest approach is to ask interactors for their evaluation of the administrator on various scales that measure traits usually felt to be "good," such as competence, likeability, and understanding. Measurement could involve one scale and one score, and administrators would be assumed to be satisfactory to the degree that they score high on scales of "good" traits.

Personal Satisfaction. Since not all interactors want the same things from administrators, trait evaluation could be elaborated by comparing interactors' ratings of the administrator with what the interactors would like from the administrator. For example, how friendly the interactor feels the administrator to be may be compared with how friendly the interactor would like the administrator to be. This comparison takes account of differences in desires or requirements (sometimes inaccurately called expectations) set for administrators by different interactors. Administrators are assumed to be satisfactory to the degree that their performance meets the desires of their interactors.

Relational Satisfaction. The third approach to evaluation is based on the assumption that administrators are satisfactory not only if their behavior meets the desires of their interactors but also if their interactors feel that they (the interactors) are satisfactory to the administrators. Superintendents,

for example, may be rated high on competence (trait) and be rated as high as parents want them to be on competence (personal), but parents may feel that superintendents regard them as incompetent, even stupid (relational).

Underlying relational satisfaction is the assumption that people feel positive toward a person in whose presence they express the parts of themselves they admire most. If interactors feel unaccepted by an administrator, they tend to feel rejected and inadequate and, in turn, to reject the administrator. (For a similar treatment, see "authentic relationship" in Argyris, 1957.)

Measurement

Guttman scales were constructed for each of the criteria of administrative effectiveness discussed (see Schutz, 1961b, 1976; Schutz & Krasnow, 1964). These criteria measures were filled out by 3,750 teachers for their respective principals.

The measures assessed effectiveness in the following areas:

1. Problem solving
2. Communication
3. Leadership
4. School maintenance
5. Organization
6. Use of human resources
7. Interest in teachers
8. Respect for teachers
9. Liking for teachers
10. Technical knowledge
11. Overall rating

The four factors that emerged from a factor analysis were:

1. *Personal Traits*. Qualities characteristic of administrators' personal performance: problem-solving ability, ability to maintain school plant, and educational leadership.

2. *Interpersonal Traits*. Satisfaction administrator engenders in teachers: teachers feeling that administrator finds them important, competent, and likeable.

3. *Organizational Traits*. Ability to integrate and coordinate the various elements of the school situation into an efficient operation: organizational ability, use of human resources, and communication.

4. *Technical Knowledge*. Unrelated to any other abilities.

These measures were used successfully to evaluate administrators for the purposes of selection, placement, and analysis of difficulties.

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