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## The principal's role in the development of teacher leadership: A case study

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Steinforth, Carla Jean, Ed.D.

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THE PRINCIPAL'S ROLE IN THE DEVELOPMENT  
OF TEACHER LEADERSHIP:  
A CASE STUDY

by

Carla Jean Steinforth

A dissertation submitted in partial fulfillment  
of the requirements for the degree of

Doctor of Education


in

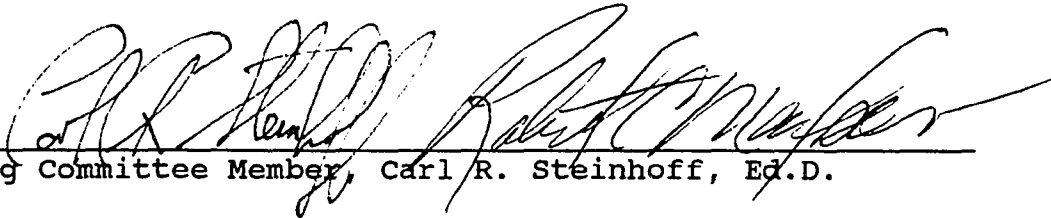
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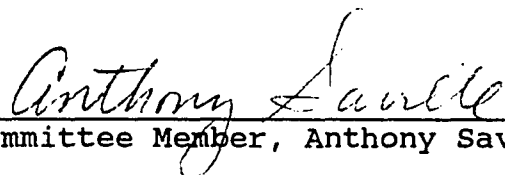
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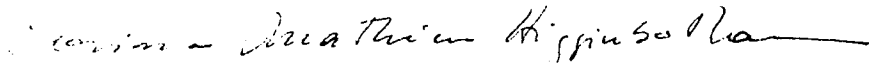
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University of Nevada  
Las Vegas, Nevada  
May, 1992



To my parents who taught me  
to achieve and  
my husband and daughter  
who taught me to  
follow my dreams to reality

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## ABSTRACT

### THE PRINCIPAL'S ROLE IN THE DEVELOPMENT OF TEACHER LEADERSHIP: A CASE STUDY

This study explored the principal's role in the development of teacher leadership in a school in the process of change. The single, case study was conducted in a large urban elementary school, grades K-5, within a major, western metropolitan school district. The nature of teacher leadership was examined along with the actions, behaviors, and thoughts of the principal which fostered the development of teacher leadership. Change process activities that were influenced or facilitated by teacher leadership were also studied.

Primary sources of data collection included field observations, document reviews, and interviews conducted on a regular basis for a period of one semester. The phenomenon of teacher leadership was analyzed within the holistic, social context of the school and the influence of the initiator style of principal leadership.

Data revealed seven descriptive categories of teacher leadership. The categories found included (a) anointed, (b) task, (c) status, (d) scholarly, (e) instructional,

(f) collegial, and (g) professional teacher leadership. Specific actions, behaviors, and thoughts of the principal were observed as being associated with and promoting the development of the teacher leadership categories. These actions, behaviors, and thoughts were grouped into four principal factors including (a) communication, (b) maintenance, (c) enablement, and (d) transition. Additionally, three areas of change processes were found to be influenced through teacher leadership. These areas included (a) instruction, (b) curriculum development, and (c) school improvement.

Out of the data, three stages of teacher leadership development were identified. Stage I was self leadership, Stage II was collaborative leadership, and Stage III was transformational leadership.

A grounded theory of teacher leadership was discovered through conceptualization of teacher leadership categories and the discovery of conceptual linkages between the principal's actions, behaviors, and thoughts and teacher leadership. A developmental model reflective of the grounded theory was presented. The model included the three developmental stages of teacher leadership, the categories of teacher leadership aligned with each stage, and the principal factors which attributed to the development of each teacher leadership stage. From this model, implications for educational administration were drawn.

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## CHAPTER 1

### OVERVIEW OF THE STUDY

#### **Background**

In the search for effective schools, educational researchers and practitioners initially looked toward environmental, demographic, and bureaucratic solutions for school improvement. Attention was given to external social environments, knowledge gained through ethnographic research studies, legislated reforms, specific allocation of resources, and school policies often implemented with a hierarchial, top-down format.

The evolution of the effective schools movement beginning in the late 1960's and extending to the present, was characterized by four critical periods (Lezotte, 1986). The periods included (a) a focus upon social context factors outside of the school's control (Coleman et al., 1966), (b) identification of common factors found in case studies of effective inner-city schools (Lezotte, Edmonds, & Ratner, 1974; Weber, 1971), (c) program evaluation studies indicating consequences of varying school-level factors and application of effective schools research (Edmonds, 1979), and (d) synthesis of the school effects (Carlson & Ducharme, 1987) and the teacher effects research (Brophy & Good, 1986) resulting in a process model of school improvement.

In the third and fourth critical periods of the effective schools movement, certain key variables or correlates that characterized an effective school were identified. Among the correlates, a common finding was the presence of strong instructional leadership. Edmonds (1979) reported the attention given to the quality of instruction by the principal was an important variable in student achievement outcomes. Purkey and Smith (1982) identified principal leadership as one of nine characteristics of effective schools. Squires, Huitt, and Segars (1983) designated principal leadership and three related processes, (a) modeling, (b) consensus building, and (c) feedback as key components. Gorton (1983) identified strong administrative and instructional leadership as critical. Former U.S. Secretary of Education, William Bennett (1986) concluded, "The research is perfectly clear. It's hard to find a good school without an effective principal" (p. 128).

Through the effective schools movement, then, the leadership styles of principals became focal points of study. The principal was identified as being a key variable in determining what occurred in schools as well as being a gate keeper of change in adapting and institutionalizing school innovations (Fullan, 1982). Although no definitive sets of professional behaviors or characteristics were determined, research on effective principals began to distinguish effective versus less-effective.



Differences among principal leadership styles were evidenced in varied situations (Andrews, 1985; Edmonds, 1979; Hall, Rutherford, Hord, & Huling, 1984; Leithwood & Montgomery, 1982; Thomas, 1978). Research studies examining principal leadership styles in relation to the facilitation of change, consistently identified the principal as a key influence in the change process. In addition, distinguishing behaviors were associated with principal effectiveness in implementing change (Berman & McLaughlin, 1978; Fege, 1980; Hall, Rutherford, & Griffin, 1982; Hord & Goldstein, 1982; Tye, 1972). Lieberman and Miller (1981) in a synthesis of school improvement research summarized, "the principal is the critical person in making change happen" (p. 53).

Although the principal was perceived as the key change agent or leader in facilitating school improvements, many of the same behaviors or skills demonstrated by the principal were also associated with additional change facilitators found in the same setting. Hord, Huling, & Stiegelbauer (1983) reported that regardless of the hypothesized style of participating principals, the type of innovation being implemented, the year of implementation, or the district, additional change facilitators worked actively in each school. Change was not being implemented by principals alone; they had either a second change facilitator or a facilitator team who assisted. In some schools, this person

or team was another administrative figure such as an assistant principal, coordinators, or specialists at the area or district level. In other schools, the other change agent or agents were teachers from within.

The finding of additional change facilitators within the school paralleled current thinking in educational reform efforts. Whereas initial reform efforts directed attention toward improving education by enhancing the quality of teachers (National Commission on Excellence in Education, 1983), consideration was later given to improving education by calling for "...the transformation of schools into places regarded for their professional autonomy where teacher leadership is apparent" (Association of Teacher Educators, 1986, p. 9).

The task force report of The Carnegie Forum on Education and the Economy (1986) envisioned schools in which the roles and responsibilities of teachers were restructured and professional autonomy was increased. The single model of leadership prevalent in most schools was refuted while a collegial leadership style was supported. Proposals were made for schools to be headed by lead teachers acting as a committee within the context of a limited set of goals outlined by state and local policy makers. Teachers were envisioned to have these traits:

the ability to make--or at least strongly influence--  
decisions concerning such things as the materials and

instructional methods to be used, the staffing structure to be employed, the organization of the school day, the assignment of students, the consultants to be used, and the allocation of resources available to the school. (p. 58)

The proposed target of teacher leadership in school reform efforts led to the examination of principal leadership style in relation to teacher leadership within the school context. Increased professional autonomy of teachers and the validation of teacher leadership were often viewed as an antithesis to principal leadership. The presence of teacher leadership was viewed as giving principals less power and latitude in managing their schools (Carlson, 1987; Nyberg, 1990).

Some educational reformers and practitioners concluded, however, that a collegial, principal-teacher leadership actually facilitated and enhanced school improvement efforts (Bredeson, 1989; Maeroff, 1988). Bredeson (1989) concluded that readjustments of power relationships in schools led to a "group centered" leadership in which "responsibility for group effectiveness rests with the group not one individual seen as its leader" (p. 3). Instead of being viewed as a threat to principals, a change in the principal-teacher power relationship offered "many more advantages for enhancing leadership in the school not threatening its foundations" (p. 15).

The focus on a group-centered leadership supported the call for increased emphasis given to the social or human resource factors that shaped actions and outcomes in schools. Studies examining the implementation of innovations within the school pointed to the social processes underlying the innovation as worthy of attention (Berman & McLaughlin, 1975; Goodlad, 1975; McLaughlin, 1987). Hart (1990a) concluded following an examination of the work structure redesign in a career ladder plan, "leadership came to be an attribute of the school social system rather than a characteristic of the individuals in each school" (p. 526). Perhaps, in keeping with the social systems perspective of leadership and management, "the issue of leader-subordinate relationships is more than simply directional influence" (Dachler, 1984, p. 107). The integration and emergence of leadership may thus be related to the matrix of social interactions within the context of a school.

Purkey and Smith (1983) identified key variables that interacted to define the climate and culture of an academically effective school. The variables were referred to as interacting in an organic system of nested layers. Specifically, one set of variables was comprised of organizational and structural variables that were set into place by administrative and bureaucratic means. These variables formed the outer layer of the school and set the

stage for the second inner layer referred to as process variables. Among the organizational and structural variables, instructional leadership from either the principal, an additional administrator, or an individual or group of teachers was identified as necessary to initiate and sustain a school improvement process. Additionally, collaborative planning and collegial relationships were cited as process variables that enhanced the success of change efforts. The leadership of the principal and the collegial participation of teachers in school policy and curricular decision making were considered factors in the creation of effective schools (p. 443).

Mackenzie (1983) and Pratzner (1984) reported the impact of collaborative school settings. Principals who created conditions for teacher leadership, peer mentoring, and participation in decision making documented both increased student learning gains and higher levels of teacher satisfaction and retention. Conditions for collaborative school settings included such activities as collaborative planning, collegial problem solving, and frequent intellectual sharing.

The impact of principal leadership on school improvement (Leithwood & Montgomery, 1982; Little, 1981; Rutter, Maughan, Mortimore, Ouston, & Smith, 1979; Venesky & Winfield, 1979), the emergence of additional change facilitators in implementing change within a school (Hall &

Hord, 1987), the emphasis given to the need for teacher leadership (Association of Teacher Educators, 1986; Carnegie Forum on Education and the Economy, 1986), and the dynamics of the social processes within a school on the success of school restructuring or reform efforts (Erickson & Nosanchuk, 1984; Goode, 1978; Hart, 1990a; Rosenholtz, 1989), led to the focus for this study. The importance of examining the principal's leadership role in school improvement and the discovery of the complementary role of other change facilitators in facilitating successful school improvement efforts (Hall & Hord, 1987) was clarified. Fostering the development of teacher leadership seemed a reasonable and desirable goal given the second-wave of reform reports (Carnegie Forum on Education and the Economy, 1986; Devaney, 1987). Studies, however, on the dimensions of teacher leadership in implementing change within a school were limited. In addition, studies examining the influence of principal leadership style on the emergence of teacher leadership were lacking.

Maintaining that the role of an additional change facilitator was an expression of teacher leadership, a study of how the complementary role emerged was considered essential. If research regarding teacher leadership was to be informed, then the emergence of teacher leadership had to be examined in relation to principal leadership style. Since schools were viewed as social units in which work

redesign was influenced by social-information processing (Hart, 1990a), the emergence of teacher leadership needed to be examined holistically. The social interpretations that made "certain information salient and pointed out connections between behaviors and subsequent attitudes...creating meaning systems and consensually shared interpretations of events for participants," (Pfeffer & Lawler, 1980, p. 54) were considered critical to providing insight and meaning to how individuals as group members met new work designs and direction for change. Hart (1990b) indicated, however, that in spite of the importance of adult interactions in the workplace, little data was available regarding school reform from the perspective of a social systems framework.

### **Purpose of the Study**

This study was undertaken to examine how the leadership style of the principal influenced the development of teacher leadership in a school in the process of change. Specifically, the study determined how the initiator, change facilitator style of a principal, as hypothesized and conceptualized by Hall et al. (1982), Hord (1981), and Rutherford (1981), influenced the development of teacher leadership in facilitating change. The initiator style was selected for study since this style was found by Hall and Hord (1987) to be associated with the highest degree of success in implementing programs. Further, the initiator

style of principal enabled staff members acting as second change facilitators to make "about the same number of interventions as did their principals" (p. 68).

In addition to studying the influence of principal leadership style on the development of teacher leadership, the study examined the nature of teacher leadership and the social processes underlying the authority and decision making structure of a school in the process of change. The social context of the school was examined recognizing the impact of social-information processing (Salancik & Pfeffer, 1978; Smith & Peterson, 1988; Turner, 1988) on social interactions. Since teacher leadership was associated with the formal organization of the school as well as the informal group, an examination of the social context was considered essential.

### **Statement of the Problem**

This study examined how the leadership style of the principal influenced the development of teacher leadership within a school in the process of change.

### **Research Questions**

The research questions considered for study included:

1. What is the nature of teacher leadership that emerges within the school context?
  - a. What forms of leadership do teachers demonstrate?



- b. How are these forms of leadership, if at all, related to the principal's actions, behaviors, and thoughts?
  - c. What actions, behaviors, and thoughts of teachers suggest the emergence of teacher leadership styles?
- 2. What actions, behaviors, and thoughts of the principal foster the development of teacher leadership?
  - 3. What change process activities were influenced or facilitated by teacher leadership?

### **Significance of the Study**

Finn (1990), proposed that history "is going to view the final third of this century as a time when the very meaning of education was recast, at least perhaps in the United States and perhaps throughout the industrial world" (p. 586). A paradigm shift from the traditional conception of education as a process and delivery system to the outcome achieved when learning takes place was predicted. Under the new paradigm, "only if the process succeeds and learning occurs will we say that education happened" (p. 586).

Assuming the probability of a paradigm shift to an outcome-based view of education, Finn speculated that a "performance-oriented accountability system" would be "a liberating experience for those who toil in the enterprise of education" (p. 591). There would no longer be a need for

everyone to take the same defined path to reach a final destination.

In the context of a possible paradigm shift and the second-wave of educational reform/restructuring movements, knowledge of the roles of individuals involved in the change process became increasingly critical. According to Kanter (1983), "individuals who will succeed and flourish will also be masters of change: adept at reorienting their own and others' directions in untried directions to bring about higher levels of achievement" (p. 65).

This study contributed to the knowledge base of principal-teacher roles and their relationship to one another. Viewed separately, the need for strong instructional leadership by principals was supported in synthesis of research and literature related to the effective schools movement (Edmonds, 1982; Mackenzie, 1983; Purkey & Smith, 1982) while the need for increasing professional autonomy or leadership of teachers was purported by educational researchers and reformers (Carneige Forum on Education and the Economy, 1986; Darling-Hammond, 1984; Goodlad, 1984; Holmes Group, 1986; Lieberman, 1987; National Commission on Excellence in Education, 1983;Sizer, 1984). In studies related to school change, Hord, Stiegelbauer and Hall (1984) found, "What is becoming quite clear is that the principal does not bear the weight of leadership responsibility alone. There are one or more

helpers who participate in school leadership and facilitation of school improvement efforts" (p. 89).

While educators and reformers evidenced the need for strong instructional leadership by the principal and recognized the importance of teacher leadership, evidence related to the relationship between principal leadership style and teacher leadership was lacking. Therefore, this study explored how principal leadership style influenced the development of teacher leadership within a social context.

### **Theoretical Base of the Study**

This study was based upon theories grounded in leadership, change, and organizational development. The view of analyzing leadership in terms of behavior and what leaders do to develop productive interaction in accomplishing tasks or group goals was considered rather than analyzing traits or personal characteristics of individuals.

The perspective advocated by contingency-based or situational theorists was considered key to this study. Fiedler's (1978) contingency model was relevant in that it was based on the assumption that leadership can be described in terms of style, that there is no one best way to exercise leadership, and that the selection of a style of leadership behavior depends upon contingencies present in a given situation. Vroom and Yetton's (1973) contingency model describing five leadership styles in terms of autocratic,

consultative, and group processes was useful in tying leadership behaviors to certain contingencies or specific situations.

Hersey and Blanchard's (1977) situational theory of leadership was relevant in terms of matching leadership style to the level of maturity of group members. As the maturity level of group participants increased, the leadership style was altered by reducing task-oriented behavior and increasing relationships-oriented behavior. The added dimension of the maturity level of followers was an underpinning to the nature and development of teacher leadership. At the highest level of maturity, followers have the capacity to set goals and take responsibility for their own work; two conditions relevant to teacher leadership.

Change theories that had particular relevance to school principals and the concept of change facilitators provided a another framework for this study. In particular, the three change models articulated by Havelock (1971), organizational development as applied in school settings, and the linkage model of change, were key to understanding the role of the principal and other change facilitators in implementing the change process.

The three models articulated by Havelock, the social interaction model, the research and development model, and the problem-solver model, provided insight into the

behaviors and skills of school change facilitators. This insight was key to understanding possible teacher leadership behaviors and skills.

The theory of organizational development emphasized the human social system of an organization and the dynamics of the group in bringing about organizational self-renewal. Using Chin and Beanne's (1969) typology for classifying strategies for planned organizational change, organizational development was viewed as a normative-reeducative strategy for bringing about change by improving creative problem solving capabilities of members within the organization rather than using a hierarchical bureaucratic approach. Theories related to organizational development provided insight into the social context of teacher leadership within a school.

Finally, the linkage model of change emphasized the establishment of "communication networks between sources of innovations and users via an intermediary facilitating role either in the form of a linking agent or a linkage agency" (Paul, 1977, pp. 26-27). This change model provided a framework for analyzing the principal's actions, behaviors, and thoughts, as well as teacher interactions encountered during the change process.

#### **Definition of Terms**

The following terms were central to this study:

change facilitator - The person who delivered interventions

in the process of implementing change or an innovation. One who understood the change process and the dynamics of change and provided leadership for change efforts (Hall & Hord, 1987, p. 216).

change facilitator style - Means for describing and conceptualizing leadership for change without examining all aspects of leadership style. Comprised of "the interactive combination of the facilitator's knowledge about the change process, the change facilitator's Stages of Concern, the particular facilitator behaviors, and the tone of the delivery of these interventions" (p. 222).

initiator - A person who had strong beliefs regarding what comprised a good school and effective teaching. Communicated a well defined vision of the school that included "clear, decisive, long-range goals...that transcend, but include implementation of current innovations" (p. 230). Implemented changes when it was thought to be in the best interest of the students.

teacher leadership - Referenced to a teacher's ability to "enhance one's craft on a continuous basis, to inquire into problems of pedagogy, and to organize for and facilitate the professional development of one's peers" (Rosenholtz, 1989, p. 220).

### **Synopsis of Methodology**

The study employed a qualitative, single case study

design (Yin, 1989). The case study design provided the means for exploring the nature of teacher leadership in the setting in which all of the contextual variables were present (Marshall & Rossman, 1989). To gain a thorough understanding of the impact of principal leadership style on teacher leadership, the researcher collected data on a regular basis for a period of one semester in a single school site. The consistent and ongoing contact with the school setting was necessary to observe and explore possible behaviors, processes, and events (Marshall & Rossman, 1989; Yin, 1989) that impacted teacher leadership and to examine the contextual layers within the school (Erickson, 1986).

The theoretical sensitivity (Strauss & Corbin, 1990) of the researcher led to the purposive selection (Lincoln & Guba, 1985) of a school site that represented a unique case and served a revelatory purpose (Yin, 1989). The school site selected was unique in that the principal's leadership style fit the initiator description (Hall & Hord, 1987, p. 230) and the staff had previously participated in a state sponsored school improvement project, in which elements of the effective school research had been implemented. In addition, the school was known to have a prior history of innovation.

The school site had the potential of serving a revelatory purpose in that the researcher had access to observing and interviewing teachers who were recognized for

their involvement in the implementation of instructional innovations both at the school and district level. Hence, there was potential for gaining insight from key participants who could inform the study relative to the development of teacher leadership.

Theoretically informed interpretations were formed by gathering data in a variety of contexts, conceptualizing the data, and relating the concepts to form a "theoretical rendition of reality" (Strauss & Corbin, 1990, pp. 22-23). The phenomenon of teacher leadership was analyzed within the holistic, social context of the school and the influence of the initiator style of principal leadership.

Primary sources of data collection included field observations, document reviews, and interviews. Case study protocol questions (Yin, 1989) were developed to guide data collection procedures.

Field observation notes were gathered on the physical setting and demographics of the school. In addition, informal and formal interactions of the teachers in settings such as the teacher's lounge or work room, in "passing", with the principal in committee or staff meetings, and in one-to-one conferences were recorded.

Document reviews of school correspondence and staff communication were conducted. Excerpts and passages relevant to the research topic were extracted and transcribed for analysis.



Open-ended (Seidman, 1991; Yin, 1989) and focused (Yin, 1989) interviews were conducted with the principal and teachers. Each interview was audiotaped and transcribed to ensure accuracy of field notes. Purposeful sampling (Patton, 1980; Seidman, 1991) was used to gain maximum variation (Seidman, 1991; Tagg, 1985) of participants interviewed. The goal for sampling participants to be interviewed was to sample purposely participants who provided a wide range of views within the limited population. Participants who were identified as teacher leaders by peers and the principal were interviewed in addition to those who were in some sense considered to be negative cases (Lincoln & Guba, 1985) of teacher leadership. Participants were added to be interviewed through the snowballing approach in which one participant led to another (Bertaux, 1981) and as new dimensions of teacher leadership were revealed through prior interviews (Lincoln & Guba, 1985).

Data were continuously analyzed throughout the study using coding procedures suggested by Strauss & Corbin (1990). Out of the data, emerged seven descriptive categories of teacher leadership. Each category was analyzed in terms of its causal conditions, context in which it was embedded, the action/interactional strategies by which it was related, and the consequences of those strategies (Strauss & Corbin, 1990, pp.96-96).

A grounded theory related to the development of teacher leadership was derived by making explicit conceptual linkages and relating teacher leadership categories to one another (Strauss & Corbin, 1990). In order to give explanatory power to the theory, teacher leadership categories were developed that were theoretically dense in terms of dimensionalized properties and included subcategories described in terms of basic paradigm features, "conditions, context, actions/interactions (including strategies) and consequences" (p.18). Broader conditions, such as the social context in which principal and teacher behaviors occurred, were also built into the theory explanation.

Finally, the categories developed to describe the nature of teacher leadership were analyzed in terms of process. Each category was analyzed to determine if change or movement of action/interaction over a period of time in response to conditions (Corbin & Strauss, 1990) inferred a range or series of developmental stages related to teacher leadership.

## CHAPTER 2

### REVIEW OF THE LITERATURE

#### **Introduction**

The review of literature followed five lines of inquiry relevant to the study: literature related to the principal's role in creating effective schools, the implementation of change, principal leadership style, organizational development, and teacher leadership. The purpose of the review was to provide a theoretical framework for the research problem and questions.

The first section of this chapter focuses on the literature related to effective schools research. The identification of effective schools and the impact of the principal on school improvement efforts are discussed. Implications regarding the importance of the principal role in effective schools are drawn in this section.

The second section of this chapter discusses the implementation of change and processes related to change. The purpose of this section is to determine how change is implemented in the context of a school and to establish the framework for examining the teacher's role as well as the principal's role in implementing change.

The third section of this chapter focuses on the

behavioral approach to leadership and the interaction between leadership style/behavior and the situation. The purpose of this section is to ground the study in leadership theory and to discuss the impact of principal leadership style on the implementation of change within a school. Implications for studying the initiator style of principal leadership in relation to teacher leadership are drawn in this section.

The fourth section of this chapter reviews a theoretical and contextual framework for change. Organizational development theory is reviewed to determine social processes and contextual factors impacting the professionalization of teachers, a condition related to the concept of teacher leadership. The impact of the principal and teachers on the culture of the school is discussed. The need for studying teacher leadership within the social context of the school is noted in this section.

The fifth section of this chapter examines the notion of teacher leadership and reviews studies related to teacher leadership. Conclusions are drawn in this section regarding the need to examine the relationship between principal leadership style and the development of teacher leadership.

### **The Principal's Role in Creating Effective Schools**

#### **Overview of Effective Schools**

**Input/output studies.** Spanning the time period, 1966-

1976, initial probes for effective schools included input/output equity studies. One of the most well-known was the Coleman et al. (1966) study. Following passage of the Civil Rights Act in 1964, Congress provided funding for examining equality of educational opportunity in public schools. Coleman and his associates conducted a national survey, Equal Educational Opportunity Survey, through such funding. The survey was conducted to assess the equity of educational resources by race and to determine whether equality of educational opportunity existed in public schools.

Results of the survey indicated that educational resources available to black students matched those available for white students suggesting parity among schools. When comparing achievement, however, the performance of black students was considerably below that of white students in spite of the similarity in educational resources. Similar observations noting disparity in performance was also found when comparing affluent and poor students. These findings led to the conclusion that student performance was more determined by factors outside of the school than within. Coleman et al. (1966) reported, "schools bring little influence to bear on a child's achievement that is independent of his background and general social context" (p. 325).

Findings reported by Coleman et al. were supported by a

study conducted by Jencks and Harvard associates (1972). This study concluded, "We cannot blame economic inequality on differences between schools, since differences between schools seem to have very little effect on any measurable attribute of those who attend them" (Jencks et al., 1972, p. 8).

The view that schools seemingly did not make a difference was challenged by researchers who refused to accept the assumption that family background determined a student's capacity for learning. Some schools were surmised to be more effective than others and varied uses of educational resources were presumed to make a difference. Accordingly, if variation in achievement could be found among schools, then student performance could be assumed to be a result of school effects rather than factors related to students.

Case studies. Klitgaard and Hall (1974) were among the first to challenge the input/output studies. Using student performance on standardized reading and mathematics achievement tests, Klitgaard and Hall conducted a large scale search for effective schools. Schools in which students consistently performed at higher than average levels were identified. Controlling statistically for student factors, the research study validated the existence of some unusually effective schools. Large effects of schools after non-school factors were controlled, however,

were not confirmed.

Weber (1971) examined inner-city schools to determine how successful inner-city schools were meeting the needs of poor student populations. A nomination process was used to identify 95 successful schools. Of the 95 schools, Weber identified four schools to participate in a case study. Some common factors were found to be prevalent in the selected schools. These factors included: strong instructional leadership, high expectations for student achievement, an orderly school climate, and close monitoring of student progress with emphasis in reading. This was the first time that school factors were related to the notion of effective schools.

Outlier studies. In the 1970's additional studies of schools were conducted to determine probable explanations for highly effective and unusually ineffective school outcomes (Austin, 1978; Brookover & Schneider, 1975; Lezotte et al., 1974; Spartz et al., 1977). These studies were referred to as outlier studies in which outlier cases, both positive high-achieving schools and negative low-achieving schools, were statistically determined from given samples (Mace-Matluck, 1987; Purkey & Smith, 1983). In most instances, effective schools were compared with ineffective schools.

Although there was variation in the findings of the outlier studies, some consistencies in school factors

related to school effectiveness were reported. The most commonly found factors were better control or discipline and high staff expectations for student achievement. Three of the studies (Purkey & Smith, 1983) reported instructional leadership by either the principal or another staff member as an additional common factor.

Outlier studies conducted during this period were often criticized. Controls for student factors were typically not taken into account, samples used for study were considered narrow and relatively small, achievement levels of different student population segments were not examined, and effective schools were not compared to average schools (Mace-Matluck, 1987; Purkey & Smith, 1983).

Program evaluation studies. Studies conducted during the time period of 1976-1980, reported consequences observed by varying school-level factors. Program evaluation studies that were typical of this time period included a study conducted by Armor et al. (1976) of schools participating in a reading improvement program, Trismen, Waller, and Wilder's (1976) study of schools with highly effective reading programs, and Hunter's (1979) study of schools with effective compensatory education programs. Mace-Matluck (1987) noted that these studies included larger samples than previous case and outlier studies. "Interestingly," Mace-Matluck concluded, "despite differing research methodologies, the identified characteristics of an



effective school in these program evaluations were strikingly similar to those from the previous two types of research" (p. 9).

Purkey and Smith (1983) found in their review of program evaluation studies, a consistent emergent pattern for characterizing effective schools. The majority of the schools identified with effective programs were characterized as having:

high expectations and morale, a considerable degree of control by the staff over instructional and training decisions in the school, clear leadership from the principal or other instructional figure, clear goals for the school, and a sense of order in the school.  
(p. 438)

#### Role of the Principal

Beginning in the late 1970's and extending through 1983, synthesizers and reviewers of effective schools research identified sets of characteristics or correlates that were associated with effective schools. Although the number of correlates differed according to the reviewer (Austin, 1979; Edmonds, 1979, 1981; Phi Delta Kappa, 1980, Purkey & Smith, 1983; Tomlinson, 1980), common features were shared among each set. The correlate of strong instructional leadership on the part of the school principal or another staff member was commonly listed as an element of an effective school.

Leithwood and Montgomery (1986) concluded following a review of school effectiveness research, "principal behaviors were identified as one set of variables potentially accounting for observed student achievement patterns" (p. 204). Further, four dimensions of principal behavior were found to be critical in improving school effectiveness. Included were goals, factors, strategies, and decision-making (p. 207).

In terms of goals, effective principals challenged staff to increase their expertise by examining their professional competence and setting goals for growth. A clear focus for instructional goal setting was set by "giving high priority to teachers' curriculum planning and by encouraging teachers to spend a lot of time in instruction" (p. 219).

The effective principals' orientation toward instructional goals was consistently reflected in their efforts to influence complex classroom-based and school-wide factors. Within the classroom, effective principals were directly involved in matching teachers with students, assisting teachers with the identification of classroom instructional priorities, and establishing means for achievement of stated priorities. Outside of the classroom, effective principals attempted to acquire needed non-classroom materials and resources, create a school organization supportive of classroom activities, and ensure

cooperative working relationships among staff and within the community context (pp. 226-227).

The effective principals' primary orientation for staff relationships centered around improving the school program. A task orientation rather than a human relations orientation tended to dominate principal behavior. The effective principals acted in "attempts to establish a work environment that encourages experimentation and initiative on the part of teachers" (p. 213).

The strategy of effective principals was to "seek staff advice on important issues, and encourage participation both early in the decision-making process, and continuously throughout the period of program improvement" (p. 218). Teachers were viewed as equals with principals sharing expertise in areas of personal proficiency. Participation in decision making was accomplished through an established structure and well articulated guidelines. At times decision-making power was delegated with the central purpose and framework for delegation either developed or sanctioned by the principals (Berman & McLaughlin, 1979; Leithwood & Montgomery, 1986).

Sweeney (1982) reviewed case studies considered to represent the most valid and extensive research on effective schools. Sweeney concluded that the principal clearly made a difference with the following six behaviors noted as enhancing school effectiveness: (a) emphasis on achievement,

(b) setting of instructional strategies, (c) provision for an orderly school atmosphere, (d) frequent evaluation of pupil progress, (e) coordination of instruction, and (f) support of teachers (pp. 350-351).

#### Implications for the Role of the Principal

The question of generalizability associated with case study research, the lack of longitudinal studies, the narrow focus of most studies set in urban elementary schools comprised of poor children, and the failure to study average schools (Purkey & Smith, 1983; Sweeney, 1982), challenged case study research findings. Assumptions could not be drawn that similar results would be obtained in studies of schools with different organizations and structure.

The limited generalizability inherent in case study research, however, did not discount the notion that the principal was an important factor in schools and that certain behaviors were associated with effective schools. Cuban (1987) stated,

No one knows how to grow effective schools. None of the richly detailed descriptions of high performers can serve as a blueprint for teachers, principals, or superintendents who seek to improve academic achievement....Road signs exist, but no maps are yet for sale. (pp. 995-996)

Sweeney (1982) confirmed the need to continue and

intensify school effectiveness research by studying the average school and examining the specific leadership behaviors that characterized instructional leadership. A recommendation was made for future research to focus on what principals actually do within the context of the school. This recommendation supported the notion of closely examining principal behaviors and actions in this study.

### **The Implementation of Change and Processes Related to Change**

#### Overview

The three change models outlined by Havelock (1971) provided different perspectives for understanding change. The linkage model of change (Havelock & Havelock, 1973; Paul, 1977) in which activities of linking agents and agencies were reviewed, provided insight into the role of linking agents/agencies in facilitating change.

#### Change Models

In an initial review of literature on organizational change, Havelock (1971) devised a classification scheme for viewing the change process. The review included the following perspectives: the social interaction model, the research, development, and diffusion model, and the problem solving model. Once outlining these three separate perspectives, an additional model, the linkage model (Havelock & Havelock, 1973; Paul, 1977), was devised

integrating the "strongest features" of the three models into a "single perspective" (Havelock & Havelock, 1973, p. 23). Each of these models were relevant to examining the implementation of educational change and to understanding the role teachers as well as the principal assumed in leading change.

#### The Social Interaction Model

The social interaction model emerged from the initial research of Ryan and Cross (1943) on the diffusion of new agricultural methods. This model focused on an outward view of change (Lipham, Rankin, & Hoeh, 1985, p. 110) emphasizing "the patterns by which innovations diffuse through a social system" (Havelock & Havelock, 1973, p. 18). The process of innovation diffusion focused on "using information about the benefits of a change in order to effect a change in behavior" (Rossow, 1990, p. 306).

The change process in the social interaction model began at the time the innovation was developed and prepared for dissemination. The process was viewed as a series of decision phases the individual adopting the change encountered as the innovation was disseminated through the social system. Five phases typically characterized the process. At the beginning awareness stage, an initial exposure to the innovation occurred. The second stage of increased interest found the individual adopter searching for more information about the innovation. During the third

evaluation stage, the decision was made to adopt the innovation. In the fourth trial stage, the innovation was implemented followed by the final adoption stage in which the innovation was adopted fully. At any time during the change process, the stages could be interrupted by rejection of the innovation. Each decision phase applied to individuals as well as groups (Hall & Hord, 1987, p. 32).

Hall and Hord (1987) noted that the role of the change agent was most critical at the awareness stage when the information regarding the innovation was being sought. The flow of information in this model depended on reliance of individuals within the social system rather than on others outside of the system. The process of change with this model focused primarily on the perceptions and the characteristics of those seeking the innovation adoption and the dynamics of the information processing (p.32). The role of the change agent was seemingly not as critical in this model as was the interaction of individuals in the social network.

Havelock and Havelock (1973) reported five generalizations regarding the process of innovation diffusion through a social system:

1. A network of social relations of the individual largely influenced adoption behavior.
2. The individual's place in the network, whether central, peripheral, or isolated, was a good

predictor of the rate of acceptance of new ideas.

3. Informal personal contact was vital to the adoption process.
4. Major predictors for adoption included group membership and reference group identifications.
5. A predictable S-curve pattern, a pattern of slow diffusion followed by rapid diffusion, and a late-adopter period, characterized the rate of diffusion through a social system. (p. 18)

Although most of the empirical research reviewed dealt with rural sociology, Havelock and Havelock (1973) noted that the generalizations could be applied to other fields of knowledge and adopter units such as education and school systems.

In addition to generalizations related to the diffusion process, four quasi-strategies (Havelock & Havelock, 1973) were identified with the social interaction model. These strategies held implications for schools in that they had been used widely in American education (Owens & Steinhoff, 1976).

The first strategy, natural diffusion, emphasized that innovations diffused "through a natural and inevitable process...in a remarkably regular pattern." Further, "when 10 to 20 percent have accepted an innovation...the vast majority of the rest of the society will soon follow" (Havelock & Havelock, 1973, p. 19).



The second strategy, natural communication network utilization, recognized the change agents reliance on planning and implementing dissemination activities that paid close attention to "opinion leadership and circles of influence within the social system" (p. 19). These were considered key points for channeling information. Owens and Steinhoff (1976) cautioned school administrators to not limit communication networks to formal channels. The importance of knowing and using "freely functioning networks" of informal relationships to "facilitate the movement of ideas and knowledge from the lower ranks of the organization upward" (p. 77) was stressed. Thus, communication related to an innovation was recommended to be networked in upward, horizontal, and downward movements within an organization.

The third strategy, network building, was found in massive efforts to network communication related to an innovation. These efforts were often used in marketing networks involving commercial industries, such as drug companies, and the Cooperative Extension Service of the U.S. Department of Agriculture. With this strategy, formal and informal means were used ranging from contact with an agent or salesman, enlisting the support of opinion leaders as demonstrators, and hosting group meetings. The participation of local leaders was an integral part of this strategy.

The fourth strategy, multiple media approaches, focused on using a variety of media approaches to influence the user. Different forms of media were used to coincide with the progressive stages of user involvement with the innovation. Such forms as mass advertising, package advertising, salesmen, demonstrators, and informal gatherings were used.

Lipham et al. (1985) identified the social interaction model as being a model most often used in schools. The model was considered most effective when the following existed:

1. There was financial or organizational support for establishing outside contact.
2. A cosmopolitan orientation was demonstrated by the staff.
3. Opportunities existed for travelling, attending conferences, and buying journals.
4. Time was made available for colleagues to talk.
5. There was a desire for staff to gain status, recognition, or influence.
6. Funds were available to purchase related products.
7. There was close proximity for sources of new ideas. (p. 111)

#### The Research, Development, and Diffusion Model

The research, development, and diffusion (RD&D) model emphasized the systematic and sequential manner in which

knowledge was created and used to implement the change process. This model emphasized "a downward view in which change programs flow from their sources to users" (Lipham et al., p. 111). The change program typically "begins with identification of the need for change, follows with recognition of the specific behavior or program that will satisfy the need, and ends with diffusion of the new program" (Rossow, 1990, p. 308). Clark and Guba (1972) described the change process as occurring in three phases: (a) a specific topic was researched using basic research methods followed by applied research; (b) a new device, strategy, or design was developed using the research as a framework for improving current practice; and (c) the innovation was produced, packaged and disseminated to users who received implementation assistance.

Five assumptions guided this model: (a) a new innovation was applied through a sequential process beginning with research, followed by development, packaging, and dissemination; (b) the process of planning was large scale and lengthy; (c) the sequence of planning and implementation was accomplished through a clear cut division and coordination of labor; (d) the individuals adopting the change were passive but rational consumers; and (e) the high cost of development at the beginning of the change was necessary to achieve mass dissemination and increased efficiency and quality of innovation use (Hall & Hord, 1987;

Havelock & Havelock, 1973).

The RD&D model focused more on the development of a user proof product. The product was representative of research methods and was field tested following comprehensive sequential development. Curriculum packages developed in the 1960's were examples of this model. The federal government along with research and development centers and regional educational laboratories used this model to implement planned changes in local schools (Lipham et al. 1985, pp. 111-112).

Rossow (1990) identified the main drawback to the RD&D model, "Little attention is paid to helping the teacher implement the change" (p. 309). The main concentrations in this model were the research, development, and diffusion functions.

Lipham et al. (1985), considered factors that should be taken into account when implementing change through the RD&D model. The following requirements were recommended for use of the model within local school settings:

1. Cooperative institutional arrangements between developers, distributors, and users.
2. Leadership that remains abreast of current research and encourages its use.
3. Perceiving products of research and development as legitimate solutions to actual problems.
4. Clear communication between researchers and users.

5. Attentive and receptive audiences for messages and materials from developers.
6. Time to discover and implement new products.
7. Funds for learning about and purchasing new products.
8. Local political support for change. (p. 112)

Guba and Clark (1974) proposed revision of the RD&D model from a downward to a configurational view of the change process. Rather than using newly created or artificial structures for implementing change, using natural or existing organizational structures were stressed.

#### The Problem Solving Model

The problem solving model presented change from the perspective of a group dynamics-human relations tradition. The model evolved primarily from work related to group problem solving and the dynamics of group interaction (Bennis, Benne, Chin & Coury, 1976; Jung & Lippitt, 1966; Lippitt, Watson, & Westley, 1958). The problem solving model "features the concepts of user-centeredness and user-diagnosis of problems with an emphasis on building the problem-solving capability of users" (Lipham et al., 1985, p. 110).

Havelock (1971) identified five positions held by advocates of the problem solving model. The most critical position was consideration of the user needs. These needs were to be of primary concern to the leader or change agent.

The second consideration was the diagnosis of user needs. The third position dealt with the role of the change agent. The change agent was nondirective and perceived neither as an advocate or expert in a given innovation. The fourth position held that internal resources be used to the fullest extent. The final position indicated that the strongest commitment of the user occurred when the innovation was self-initiated and self-applied.

Unlike the other models, the problem solver model considered the user of the innovation as the target of the change process. Collaborative problem solving strategies were expected. Outside consultants provided training in group process skills and assisted in the appraisal of the innovation. Specific strategies or solutions were not advocated, rather the users determined their own solutions and processes necessary for implementation.

Havelock and Havelock (1973) identified the role of the change agent as a central focus of the implementation process of this model. Change agents required a cadre of skills in relating and working with users of the innovation. They played a critical supporting role in assisting the user with problem definition and identification of possible solutions. The intent of the model was not to impose change agent views but rather to help articulate user views.

#### The Linkage Model

The linkage model combined factors from the three

previously discussed models. Like the problem solving model, the linkage model focused on the user and the potential needs of the user. The model stressed the use of communication networks and the establishment of effective relationships as in the social interaction model. The creation and dissemination of knowledge from researchers to innovation users was similar to the research development and diffusion model.

Two concepts key to the linkage model were (a) the linkage agent and (b) reciprocal relationships. Paul (1977) viewed the linkage agent or agency as being an intermediary facilitator role that formed a communication network between sources of innovation and potential users. Havelock and Havelock (1973) described the need for the user to be meaningfully related to outside sources and to enter into a reciprocal relationship with the outside resource that corresponded to what was happening in the user. The reciprocal relationship resulted in a collaboration that involved the user and the resource provider in a problem solving process as well as a channel of communication that created a stable social influence network. As a result of this collaboration, the user and the resource provider developed a level of trust and a perception of concern for one another.

In addition to being linked to the user, the resource provider also had linkages to other resource specialists and

experts. Havelock, Huber, and Zimmerman (1969) referred to these networks as a chain of knowledge utilization in which remote sources of knowledge were connected with remote consumers of knowledge. Havelock and Havelock (1973) expanded upon the concept of networks by differentiating "knowledge-building, knowledge-disseminating, and knowledge-consuming subsystems, each with its own distinctive protective skin of values, beliefs, language, and normative behaviors" (p. 25). The primary goal of knowledge utilization was to effectively link the various subsystems in a "reciprocal simulation-and-feedback relationship" (p. 25).

Havelock and Havelock (1973) stressed the importance of the change or linking agents having an overall vision of relevant resources as well as a good orientation to the work situation of the user. Roles or functions of the change agents were identified as being a diagnostician, information specialist and solution builder, evaluator, system monitor, innovation manager, process helper or facilitator (p.27). Crandall (1977) suggested that linking agents should assume ten roles: the product peddler, information linker, program facilitator, process enabler, provocateur/doer, resource arranger, information linker, technical assister, action researcher/data feedbacker, and educator/capacity builder. Rutherford, Hord, Huling, and Hall (1983) stressed one key function, " The key function of the linking agent is to



facilitate the work of persons involved in change and improvement activities. The objective is to help these persons to acquire and use relevant ideas, products, and related sources" (p. 58).

### Summary

The review of literature on models of change provided insight into the behaviors and actions change facilitators may take in the context of a school. Whether the change facilitator was a teacher or a principal, different roles dependent upon the given change perspective were suggested.

The social interaction model of change placed the change facilitator in the role of a facilitator of information who attempted to persuade others in the use of the innovation (Rossow, 1990). This role was particularly critical at the awareness stage of change when teachers were considering initial use of the innovation (Hall & Hord, 1987). In addition to sufficient information giving, the change facilitator also needed to be cognizant of the social network in which information regarding the innovation was disseminated. The natural communication network (Havelock & Havelock, 1973) and the informal channels of communication (Owens & Steinhoff, 1976) were critical points of interest to change facilitators as they attempted to influence key "opinion leadership" (Havelock & Havelock, 1973) to adopt the change. If key teachers adopted the change, other peers were assumed to also consider adoption. Knowledge and use

of the communication networks were considered useful as change facilitators dealt with different perceptions of teachers regarding the innovation.

The research, development, and diffusion model of change suggested little involvement of the change facilitator in helping teachers implement the innovation (Rossow, 1990). Instead, the primary focus was on finding an innovation that could meet a specific need, had been developed through basic research methods and applied through field testing, and had been packaged for implementation in a user proof form (Havelock & Havelock, 1973; Lipham et al., 1985; Rossow, 1990). Once the teacher made the decision to adopt the innovation, the involvement of the change facilitator was ended.

The problem solving model of change suggested active involvement of the change facilitator, whether the change facilitator was functioning inside or outside of the school site. The involvement of the change facilitator was directed to the user rather than the innovation. Instead of focusing on a particular innovation or solution, the change facilitator's focus was on building the problem-solving competence of teachers. Teacher needs and teacher diagnosis of problems (Lipham et al., 1985) were considered key in a group problem solving process (Bennis et al. 1976; Jung & Lippitt, 1966; Lippitt et al., 1958). The change facilitator was expected to function in a nondirective,

collaborative manner to help teachers self-diagnose needs, make decisions regarding possible solutions, and implement selected solutions (Havelock & Havelock, 1973).

The linkage model of change provided insight into how a change facilitator functioned as an instructional leader (Hall & Hord, 1987). The change facilitator, either linked with or informed of new programs, processes, and ideas, was actively involved in influencing change to improve current practice. The change facilitator encouraged staff involvement, provided information needed for decision making regarding the innovation, and provided training or support materials for the implementation of the innovation (p. 42).

### **Leadership Theory and Leadership Style**

#### Overview

Fiedler and Garcia (1987) defined the term leader as "the person who is elected or appointed or who has emerged from the group to direct and coordinate the group members' efforts toward some given goal" (p. 2). This definition of a leader focused on the function of a leader rather than the title. The leader was viewed as someone who "plans, organizes, directs and supervises the activities of group members, and develops and maintains sufficient cohesiveness and motivation among group members to keep them together as a functioning unit" (p. 2). Fiedler and Garcia's definition of a leader represented theorists who preferred to define

leadership in terms of specific acts or behaviors.

Some theorists related leader behaviors to leadership styles or patterns of behavior (Blake & Mouton, 1964; Halpin, 1957) and interactions between behavior and the situation (Fiedler, 1967; Hersey & Blanchard, 1977; Vroom & Yetton, 1973). This study was grounded in the theory of situational or contingency-based theorists who advocated that leadership styles/behaviors were changed according to the given situation.

Literature related to the leadership style of principals in facilitating change was reviewed to determine the link between principal behaviors and successful school improvement efforts. The research of Hall et al. (1983) was reviewed to determine if a given change facilitator style was more likely to be associated with successful improvement efforts.

#### Behavioral Approach to Leadership

In the behavioral approach to leadership, a distinction was made between the traits or personal characteristics of leaders and what leaders actually did to accomplish tasks and develop means for productive interaction within a group (Owens, 1987 pp. 128-129). This approach focused on observed leader behavior as well as the situation. Leadership behaviors demonstrated in one situation were not assumed to be transferable to other situations. Halpin (1959) stated:

No presuppositions are made about a one-to-one relationship between leader behavior and an underlying capacity or potentiality, presumably determinative of this behavior. By the same token, no a priori assumptions are made that the leader behavior which a leader exhibits in one group situation will be manifested in other group situations....Nor does the term "leader behavior" suggest that this behavior is determined either innately or situationally. Either determinant is possible, as is any combination of the two, but the concept of leader behavior does not itself predispose us to accept one in opposition to the other. (p. 12)

Describing leaders in terms of behavior, Hemphill and Coons (1981) developed the first form of the Leadership Behavior Description Questionnaire (LBDQ) noting nine categories of leadership behavior. Halpin and Winer (1957), following factorial analysis of items on the LBDQ identified two factors, initiating structure and consideration. The two dimensions of leadership were defined accordingly:

1. Initiating structure, which refers to the leader's behavior in delineating the relationship between oneself and members of the work group, and in endeavoring to establish well-defined, patterns of organization, channels of communication, and methods of procedure.

No presuppositions are made about a one-to-one relationship between leader behavior and an underlying capacity or potentiality, presumably determinative of this behavior. By the same token, no a priori assumptions are made that the leader behavior which a leader exhibits in one group situation will be manifested in other group situations....Nor does the term "leader behavior" suggest that this behavior is determined either innately or situationally. Either determinant is possible, as is any combination of the two, but the concept of leader behavior does not itself predispose us to accept one in opposition to the other. (p. 12)

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1. Initiating structure, which refers to the leader's behavior in delineating the relationship between oneself and members of the work group, and in endeavoring to establish well-defined, patterns of organization, channels of communication, and methods of procedure.

2. Consideration, which refers to behavior indicative of friendship, mutual trust, respect, and warmth in the relationship between the leader and the members of the group. (p. 4)

Research using these dimensions generally concluded "that leadership high in both initiating structure and consideration is most effective in achieving desired organizational and individual outcomes" (Lipham et al., 1985, p. 58).

Blake and Mouton (1964) expanded on the two factor dimensions of leadership behavior using The Managerial Grid containing five leadership styles or behaviors positioned within a two dimensional grid. Concern for people represented one axis of the grid while concern for production represented the other axis. Leaders could be identified as high or low on both axes, or high on one and low on the other. Leaders who were high on both axes were identified as developing followers committed to task completion with relationships of trust and respect developed between the leader and followers.

#### Contingency Approach to Leadership

The contingency approach to leadership focused on the interaction of characteristics of both the leader and the situation. Theories developed with this approach "provide potential leaders with useful concepts for assessing various

situations and for demonstrating leadership behaviors that are situationally appropriate" (Lipham et al., p. 63). Contingency views of leadership contended that "(a) there is no single, 'best' leadership style suitable to all situations, and (b) the criterion for leader effectiveness is the success of the organization or group in achieving its goals" (Owens, 1987, p. 157).

Fiedler's contingency model (1967) dominated much of the research activity in the contingency approach during the 1970's. In describing the model, Fiedler and Garcia (1987), stated that the effectiveness of a leader was contingent upon two elements, "(a) the leader's motivational structure or leadership style and (b) the degree to which the leadership situation provides the leader with control and influence over the outcome" (p. 18).

Fiedler developed the Least Preferred Co-worker (LPC) Scale to measure leader motivation or personality attributes. The critical factor in determining situational control, was group members' support. Fiedler and Garcia (1987) concluded, "Task-motivated (low-LPC) leaders tend to perform best in situations in which they have high control as well as in those in which their control is low. Relationship-motivated (high-LPC) leaders perform best in moderate-control situations" (pp. 81-82).

Vroom and Yetton (1973) developed a normative decision model in which leadership behavior was tied to contingencies



in the situation. Whereas Fiedler's contingency model provided leaders with rationale to make changes in the situation in order to improve leader effectiveness, Vroom and Yetton's model emphasized how leaders should behave in order to better fit their style to situational demands (p. 208).

Vroom and Yetton developed a taxonomy of five leadership styles described in behavioral terms according to autocratic, consultative, and group processes. A decision process flow chart was developed to identify fourteen types of problems and the preferred way of handling each. The decision as to whether to involve group members in the decision making process was dependent upon situational factors such as the leader's sufficiency of information, the need for group support, the rationality of one solution rather than another, the structure of the problem, expectancy of conflict among group members, and the sharing of organizational goals (p. 188). A series of seven questions regarding the situation were used in this model to determine "whether structural, facilitative, supportive, or participative leadership styles should be stressed" (Lipham et al., 1985, p. 66).

Hersey and Blanchard (1977) developed a Tri-Dimensional Leader Effectiveness Model that added a dimension of effectiveness to the task behavior and relationship behavior dimensions of the Ohio State leadership model. This model

integrated "the concepts of leader style with situational demands of a specific environment" (Hersey & Blanchard, 1988, p. 117). A leader style was considered effective when the style was appropriate for a given situation and was termed ineffective when the style was not appropriate for the situation. Effectiveness was considered a matter of degree with any given style in a particular situation falling on a continuum extending from extremely effective to extremely ineffective.

Hersey and Blanchard (1969) developed the Life Cycle Theory of Leadership proposing that the leader use varying degrees of structuring and considerate behavior during the life cycle of the group. The concepts in this theory were refined resulting in the Situational Leadership Model (Hersey & Blanchard, 1988, p.170) which emphasized the importance of the behavior of the leader in relation to the characteristics of the followers. Situational leadership was based on the following:

an interplay among (1) the amount of guidance and direction (task behavior) a leader gives, (2) the amount of socioemotional support (relationship behavior) a leader provides, and (3) the readiness level that followers exhibit in performing a specific task, function or objective. (p. 170)

This model was not limited to a hierarchical relationship in terms of leader and follower and could be applied to any

potential leader and follower. The model also did not identify one best style of leadership. The style of leadership was dependent upon the situation within which the leader attempted to influence.

Readiness of the follower was identified as a critical determinant of leadership style in the Situational Leadership Model. Hersey and Blanchard (1988) defined readiness as "the extent to which a follower has the ability and willingness to accomplish a specific task" (p. 174).

The two main components of readiness were thus defined:

1. Ability is the knowledge, experience, and skill that an individual or group brings to a particular task or activity.
2. Willingness is the extent to which an individual or group has the confidence, commitment, and motivation to accomplish a specific task. (p. 175)

Implicit in situational leadership was the contention that the leader assisted followers on an individual and/or group basis to grow in readiness as far as they were able and willing. The leader adjusted personal behavior according to four leadership styles (telling, selling, participating, and delegating) and the development of followers on a prescriptive curve.

At any time that the readiness level of followers changed, either increased or decreased, the effective leadership style also changed. As the readiness level of

followers increased, the effective leadership style changed from a strong directed, task-oriented behavior to an increase in socioemotional support, relationship-oriented behavior. Ultimately, when followers achieved high levels of readiness, the leader responded by decreasing not only task-oriented behavior but also relationship-oriented behavior. The contention was that followers with high readiness needed autonomy rather than socioemotional support.

Determination of an effective leadership style was made by first deciding what individual or group activities the leader wanted to influence. Next, the leader determined the ability and motivation readiness level of the individual or group in the targeted activities. Finally, one of four leadership styles was selected to match the identified readiness level of the individual or group. Hersey and Blanchard (1988) considered the key to effective leadership was the determination of readiness level and the matching of an appropriate leadership style (p. 183).

#### Change Facilitator Styles of Principals

The leadership style of principals acting as change agents emerged in research studies (Hall et al., 1982; Leithwood, Ross, Montgomery, & Maynes, 1978; Thomas 1978) and in literature reviews by Leithwood and Montgomery (1982, 1986). These works explored behaviors of principals in

relation to their role in the facilitation of change within the school context.

Thomas (1978) studied principals from more than sixty alternative school programs. Principal behavior was examined in managing diverse educational programs. The examination resulted in the identification of three patterns or classifications of principal behavior. In facilitating the alternative programs, principals acted as either a director, an administrator, or a facilitator.

Principals classified as directors retained the final decision-making authority in both procedural and substantive decisions regarding the school programs. Attention was given to factors or activities that affected both the classroom and the school. Matters of interest to the principals included curriculum, teaching strategies, staff development, scheduling, and budgeting.

Principals classified as administrators had a tendency to separate procedural and substantive decisions. Teachers were autonomous in making decisions regarding the classroom while principals made decisions affecting the school. Principals of this pattern tended to identify themselves with district management rather than with their teaching staff.

Principals classified as facilitators perceived their primary role as assisting and supporting teacher performance. Teachers were viewed more as colleagues to be

involved in the decision-making process (pp. 12-13).

Thomas concluded that the principal was important to the success of the alternative programs. Schools that were led by principals with the director or facilitator patterns of behavior had greater success than those led by the administrator pattern.

Leithwood et al. (1978) studied the influence of 29 principals on teachers' curriculum decisions. Four distinct types of principal behavior were noted in the study. Thirteen principals were classified as administrative leaders, two were termed interpersonal leaders, three were noted as formal leaders, and eight fit the category of eclectic leaders.

Each classification was reflective of certain principal behaviors. Administrative leaders tended to be passive observers of the curriculum process only choosing to become involved when a problem existed. Interpersonal leaders were directly involved in curriculum decisions on a one-to-one basis. Their interactions were primarily through observation, feedback, and future planning. Formal leaders used positional authority to dictate curriculum decisions. Specific directions were given regarding teaching objectives, use of materials, evaluation procedures, and, in one instance, teaching methods. Eclectic leaders used a variety of strategies for influencing and directing teacher curriculum decisions. Strategies used included (a) teacher

involvement in decision making, (b) collaboration with staff in establishing priorities, (c) rearranging organizational structures to facilitate identified priorities, (d) implementing and supporting use of teacher planning groups, (e) facilitating teacher sharing, and (f) creating a work environment in which teacher experimentation, initiative, and support for teacher efforts were valued.

Additional studies explored links between principal behavior and successful school improvement efforts (Hall, Hord, Huling, Rutherford, & Stiegelbauer, 1983). The Principal Teacher Interaction Study (Hord et al., 1983) examined the day-to-day interventions of nine elementary school principals as they facilitated the implementation of specific curriculum innovations during one school year. Principal leadership behaviors were classified into three change facilitator styles. Principals were identified by district administration as fitting one of three hypothesized styles: initiator, manager, or responder (Hall et al., 1983; Hall & Rutherford, 1983). Characteristics of principal intervention behaviors for each style were compiled from the study data.

Operational definitions of the three change facilitator styles (Hall et al., 1984; Hall & Hord, 1987) provided descriptions of principal leadership behaviors in schools involved in improvement efforts. The following descriptions were reflective of each style.

Initiators were distinguished by a well-defined vision. Principals with this style had definite ideas and beliefs regarding what constituted good schools and teaching. They involved teachers in decision making. Decisions were guided by what was believed best for students. Actions were characterized by the term, push. High expectations were held for everyone, including themselves. Initiators pushed toward a goal orientation seeking change whenever it was felt in the best interest of the school (Hall & Hord, 1987, p. 230).

Managers were associated with efficiency in administering their schools without fanfare. They were responsive to teacher needs, even being protective at times. Initially, change was questioned. Once the necessity of the change was understood, managers became involved with teachers in working through the change. Tasks related to the principal's role were usually accomplished strictly by the managers with delegated or assigned jobs monitored closely (pp. 230-231).

Responders typically emphasized personal relationships and were concerned about others' perceptions of the school. Because of this concern, decisions were often delayed, soliciting as much input as possible. Teachers were viewed as professionals who needed little guidance. The principal's role was perceived as maintaining a smoothly running school focusing more on administrative tasks,



keeping teachers and students content. Due to a limited vision of the school, decisions usually were based on immediate circumstances. Modifications in the school were not made easily since once decisions were made, they tended to become permanent (pp. 231-232).

Upon examining three change facilitator styles, Hall (1988) reported:

In those schools where the principal is involved in the change process (rather than being passive), sees that administrative supports are provided (consistently over time), and works collegially (rather than as a supervisor) with the other members of the CF [Change Facilitator] Team (instead of doing it alone), that implementation is most successful. Teachers accomplish more, with more ease, and tend to move beyond minimums. (p. 59)

A view of schools led by initiator style principals emerged. Hall noted an active environment that was high energy and busily oriented to tasks, teaching, and learning. Principals were actively involved with other change facilitators working as professional colleagues. In initiator-led schools Hall documented:

(a) more incident interventions, (b) more multiple step, multiple target interventions, (c) fewer interventions done to single teachers, (d) more consultation interventions, (e) more monitoring

interventions, (f) more with direct (less interactive) flow, (g) more interventions by teachers, and (h) more interventions aimed at students. (p. 57)

Literature reviews of 75 studies conducted in the United States and Canada (Leithwood & Montgomery, 1982, 1988) informed this study of principal leadership by identifying two types of principals, effective and typical or less-effective. Effective principals were distinguished as using the primary strategy of cooperative interpersonal relationships. Priorities were defined focusing on a central school mission. Interventions were made directly and consistently within the classroom and the school to ensure priority achievement. Support for priorities was gained from all stakeholders, staff, students, parents, and central administration.

In comparing different change facilitator styles of principals, Leithwood and Montgomery (1986), categorized the initiator, manager, and responder styles (Hall et al., 1984) with the interpersonal, eclectic, formal, and administrative leadership styles (Leithwood et al., 1978). The initiator was grouped with the interpersonal and eclectic leaders, the manager with the interpersonal and formal leader, and the responder with the administrative leader (Leithwood et al., 1978, p. 225).

#### Summary

The review of literature related to leadership theory

and styles of leadership grounded this study in the framework of analyzing principal leadership in terms of behavior and the interaction between behaviors and the situation. The research on principals as change facilitators or change agents consistently placed the principal as an influencing factor. Noting that there were distinguishable principal behaviors that affected the success of change implementation, support was gained for examining the initiator change facilitator style (Hall et al., 1984) of a principal. The initiator style, associated with successful implementation efforts (Hall, 1988) and seemingly matched with descriptions of effective principals (Leithwood & Montgomery, 1982, 1986), emerged as a noteworthy style to examine for this study.

### **Organizational Development Theory**

Fiedler and Garcia (1987) defined an organization as "a set of interrelated and interdependent groups under one administration which share common goals and cooperate in achieving these goals" (p.4). In organizational development (OD), change focused on the group(s) rather than the individual. Schmuck, Runkel, Arends, and Arends (1977), in applying OD in school settings stated, "It is the dynamics of the group, not the skills of individual members, that is both the major source of problems and the primary determiner of the quality of solutions" (p. 3). Hall and Hord (1987)

viewed this basic assumption of OD as having implications to change in schools. Schools were to be viewed as "systems of people working at tasks interdependently and eventually moving into collaboration with other sets of individuals as they move from one task to another" (p. 35).

With the focus of change on the group, an OD consultant, working either from outside or within the organization, was concerned with improving the adaptability of the organization and increasing subsystem effectiveness. Schmuck et al. (1977) described seven interdependent capabilities necessary for subsystem effectiveness: clarifying communication, establishing goals, uncovering and working with conflict, improving group procedures in meetings, solving problems, making decisions, and assessing changes. Ideally, a school staff developed an internal capacity to use OD skills in solving new emerging problems (Fullan, Miles, & Taylor, 1981; Hall & Hord, 1987).

In their review of OD strategies, Owens and Steinhoff (1976) identified the resource of improving the effectiveness of people within the organization. The belief was, "By encouraging people to become involved, concerned participants rather than making them feel powerless and manipulated ... the organization can draw ever-increasing strength, vitality, and creativity from its people" (p. 103). This had particular relevance to the notion of teacher leadership. Little (1990) proposed that by "tapping

the collective talents, experience and energy of their professional staffs" (p. 166), schools could be organized to improve steadily and adapt quickly to changes needed.

Pratzner (1984) referred to the emergence of a body of literature related to the quality of work life (QWL). This literature contributed to an understanding of how work was organized and carried out within the organization. A key concern addressed in this literature was the "underutilization of human resources in the workplace" (p. 22). Pratzner recommended improving school effectiveness by adopting participative management technology that would in turn increase the quality and effectiveness of the social system. The following was recommended, "Institutional improvement must go hand-in-hand with individual improvement, and those who are closest to the work that needs to be performed (students and teachers) are also the most knowledgeable of how improvements can be made" (p. 24).

### **Teacher Leadership**

#### Overview

Teacher leadership emerged as a relatively new tenet for educational reform. The limited body of literature, although considered important for informing reform efforts, was scant (Wasley, 1991) and rooted primarily in a rising dissatisfaction of policymakers, scholars, and researchers with current conditions in education. The new rhetoric of

teachers providing leadership for their colleagues was "undergirded by the belief that new leadership positions will improve the quality of educational experience students receive while simultaneously working to retain and to stretch top-quality people in the teaching profession" (p. 5).

A review of policy reform reports, an acknowledgement of the views of scholarly reformers, and a synthesis of research studies that resulted in the current appeal for teacher leadership in school restructuring efforts, informed this study. The tenet of teacher leadership was found rooted in a practical, historical context based on an experiential view as well as a research perspective.

#### Policy Reform Reports

Initially, with the release of the National Commission on Excellence in Education (1983) report, A Nation At Risk, attention for school reform was directed toward the need to improve the quality of teachers. As a result, certification and training requirements for teachers became a target for state initiatives. State governments became more involved than ever before by legislating with greater specification, the details of teaching (Airasian, 1987).

As public debate about the professional preparation of teachers grew and the quest for solutions intensified, critical consideration was given to the working conditions of teachers. A second wave of reform reports emerged

focusing on the "need to improve education by improving the status and power of teachers and by 'professionalizing' the occupation of teaching" (Lieberman, Saxl, & Miles, 1988, p. 58). These reports added particular significance to the rhetoric on teacher leadership.

The first major report, Teachers for the 21st Century (Carnegie Forum on Education and the Economy, 1986), purported that the roles and responsibilities of teachers should be restructured to increase the professional autonomy of teachers. The single model of leadership found to be prevalent in most schools was denounced as being "better suited to business or government than to the function of education" (p. 61). A collegial style of leadership was proposed with schools headed by lead teachers acting as a committee. Allowances for deregulation and time for professional development were viewed as means for increasing teacher participation in decision making and creating professional work environments within schools.

Devaney (1987) described what teacher leadership should entail. Six arenas of teacher leadership were identified to advance school programs as well as strengthen knowledge, skills, and commitment of staff. Each of the arenas were rooted in a review of prior studies conducted on school organization. Devaney concluded that lead teachers should be described as those who (a) continuously teach and improve upon personal teaching practices, (b) organize and lead

informed peer reviews of current school practice,  
(c) participate productively in school decision making,  
(d) organize and lead staff development inservice  
activities, (e) mentor individual teachers, and  
(f) participate in performance evaluation of teachers.

The second major report, Tomorrow's Teachers (Holmes Group, 1986), focused on the improvement of teacher training and the implementation of a three-tiered career ladder. The improvement of teacher training emphasized close collaboration between practitioners in the field and faculty within the university system. The career ladder recommendation emphasized role differentiations between beginning teachers, professional teachers, and career professionals.

In general, the reform reports focused national attention on teaching and set the stage for viewing teaching in terms of varied roles and varied professional opportunities. "In policy terms," Lieberman et al. (1988) concluded, "the second-wave reformers suggest greater regulation of teachers--ensuring their competence through more rigorous preparation, certification, and selection--in exchange for the deregulation of teaching--fewer rules prescribing what is to be taught, when, and how" (p.59).

#### Scholarly Views of Reform

At the outset, Wise (1979) predicted that the



legislative efforts prompted by the Nation At Risk report would fail in improving the quality of schools. Wise noted:

The more educational policies are promulgated by higher levels of government, the more bureaucratic will become the conception of the school....To the extent that the public or its representatives insist upon measuring the effects of educational policies, the goals of education will be narrowed to that which can be measured.

(pp.201-202)

Wise predicted that bureaucratic regulations would impede teacher efforts to respond to diversity within the student population.

Darling-Hammond (1984) in response to the Commission Reports, outlined factors that were contributing to a critical teacher shortage. Of primary concern was the increasingly prominent view that teachers were viewed as bureaucratic functionaries rather than as practicing professionals. Factors cited as supporting this view included, "lack of input into professional decision making, overly restrictive bureaucratic controls, and inadequate administrative supports for teaching" (p. 6). According to Darling-Hammond, all of these factors led to teacher dissatisfaction and attrition among those considered most talented and qualified. Only through the improvement of working conditions could this growing dissatisfaction and attrition be corrected. Darling-Hammond recommended

professionalizing teaching through rigorous entry requirements, supervised induction, autonomous performance, peer-defined standards of practice, and increased responsibility with the demonstration of increased competence (p. 25).

Reflecting on schools for future teachers, Darling-Hammond (1987) purported, "We need to effectively use all of the teaching talents available in schools if we are to produce better schools and more able learners" (p. 355). Darling-Hammond was opposed to having a narrow margin of teachers reach the requirements for becoming career professionals. Schools should be professional development centers characterized by "experimentation and collective problem solving" providing teachers with the opportunity to "contribute to the development of knowledge in their profession, to form collegial relationships beyond their immediate work environment, and to grow intellectually as they mature professionally" (pp. 356-358).

Maeroff (1988), as a result of accumulated observations and interactions with teachers, administrators, and concerned citizens regarding the plight of education, spoke of the need to empower teachers. The need was identified for teachers to "exercise one's craft with quiet confidence and to help shape the way the job is done" (p. 475). The type of empowerment that Maeroff envisioned was more related to individual department than with the ability to control or

supervise others. A recommendation was made to redefine the role of teachers allowing for more professionalism. To accomplish this, the role of the principal should be "more like symphony conductors who give leadership to a blend of individual artists than like train conductors who officiously manage all comings and goings" (p. 477).

Schlechty (1990) identified the need to reinvent schools beginning with a "fundamental reconceptualization of the purpose and vision that will provide the framework out of which restructured schools might emerge to meet the needs of the 21st century" (p. 34). Speaking more from the perspective of practical experience than research (p. xxi), Schlechty stated the need for educators to view themselves as "leading and working in knowledge-work organizations" (p. 41). He viewed the potential for leadership as being evident at all levels of the organization, not just at the administrative level. According to Schlechty, leaders within knowledge-work organizations led through teaching, preaching, and directing. They influenced others to decide, orchestrated efforts, coached, and encouraged.

Sergiovanni (1991) felt that the concept of leadership density was important to the quality of schooling. An important aspect of the principalship was "the enabling of others to lead" (p.112). The density of leadership referred to the "total amount of leadership expressed on behalf of school quality by students, parents, and teachers as well as

by principals" (p. 112). Sergiovanni concluded that greater density in leadership resulted in more successful schools.

### Related Research

The tenet of teacher leadership emerged from research related to the working conditions of teachers and the particular leadership roles that teachers assumed in school restructuring efforts. Although the studies dealt with different aspects of teaching, a general consensus pointed toward more active involvement on the part of teachers in creating quality schools.

Lortie (1975) outlined a comprehensive historical perspective of the teaching profession in the United States. Dismal working conditions were reported. Teachers generally had little opportunity to change their circumstances. Unless they elected to leave the ranks of teaching and enter into administration, they were given few professional opportunities. Extreme isolation with strained teacher-administrator relationships seemed to characterize adult interaction within the school.

Cohn, Kottcamp, McCloskey, and Provenzo (1987), in studying the same teachers 20 years later, found that the teachers perceived their work as being more bureaucratic and less professional. They reported more external control, more paperwork, less involvement in curricular decisions and issues related to student assessment, and less planning and teaching time.

Lieberman (1969) found in a large-scale study of teachers, the work life and feelings of teachers about themselves were affected by the behaviors and activities of the principal. Teacher morale and sense of professionalism were affected by the principal's treatment of the faculty. Principal actions and behaviors could convey a message of caring and sensitivity as well as distance and coldness.

Goodlad's (1984) large scale study of K-12 classrooms and Sizer's (1984) investigation in secondary schools, typified schools as routinized places in which order was valued over engagement. Teachers were found to be caught in systems that did not encourage use of professional judgement.

The potential benefits of collegiality were documented by Little (1986) in a study of two staff development programs implemented in three elementary and three secondary schools located in a large urban school district. The more successful program was found to be one in which teachers and principals participated in training and implementation as a group. In schools where collegiality was a norm, principals and teachers worked together to set realistic goals and shared leadership. The principals ensured that teachers practiced the skills required for collaboration, encouraged experimentation, and provided time for staff to work together.

Rosenholtz (1989) established a link between the social

structure of the school and teacher growth. Teachers in eight school districts were surveyed regarding their perceptions of workplace conditions. In schools perceived as being collaborative in nature, teacher leaders were "identified as those who reached out to others with encouragement, technical knowledge to solve classroom problems, and enthusiasm for learning new things" (p. 208). Collaborative principals "shook loose new elements of collegial interdependence, seeming to vastly expand teachers' sense of possibility and their instincts for improvisation" (p. 208).

Schools characterized as learning enriched by Rosenholtz, established collaborative goals in a spirit of continuous improvement. Principals often "orchestrated collaborative relations between more and less successful teachers, explicitly acknowledging that improvement was possible, necessary, and expected" (p. 208). In contrast, learning impoverished schools had neither shared or explicit goals with time for colleague interaction found lacking.

Brownlee (1979) surveyed teachers and principals in ten public elementary schools to determine whether teachers could be identified as educational leaders and to identify characteristics that distinguished teachers as leaders. Teacher leaders were distinguished by (a) capacity to bring about moderate change; (b) high ratings for knowledge of curriculum, instruction, and classroom management;

(c) positive relationships with students and staff;  
(d) above the mean age of teachers; (e) more years of teaching experience; (f) high level of formal education; (g) more frequent communication with other teachers; and (h) more years taught in present assignment (p. 120-121).

The role of teachers as instructional leaders was examined by Kenney and Roberts (1984) in eight school improvement projects. The instructional leaders were found to undertake six key tasks: training, coaching, linking, developing, monitoring, and publicizing. Improvement projects declared successful were those in which the instructional leaders "treated fellow teachers with collegiality and mutual respect, and who received cooperative support rather than compliance" (p. 19). Success tended to occur when the instructional leader "used expertise to persuade others to 'internalize' the project, sharing decisions and tasks democratically" (p. 19). As a result of their study, Kenney and Roberts recommended the expansion of teacher roles beyond the classroom as a means to improve teacher quality and attract and retain qualified teachers.

Hatfield, Blackman, Claypool, and Master (1987) investigated established teacher leadership roles. They identified people who held the roles, analyzed their activities and responsibilities, and described the organizational conditions that supported the roles.

Findings indicated 10% to 20% of the teaching staff analyzed were represented by 50 role titles. The titles included master teachers, grade-level chairs, staff development specialists, consultants, and department chairs. The majority of their activities focused on staff development, curricular development, and instructional improvement. Hatfield et al. concluded, "despite extensive use of these roles, they have not surfaced as significant" (p. 23).

Lieberman et al. (1988) studied former teachers who assumed leadership roles in different schools during a two year period. The teacher leaders worked in three different programs and were considered successful in criteria ranging from creating a healthy climate, to making organizational change, to raising achievement scores. Lieberman et al. examined the skills of the teacher leaders to see if they had a common core of skills. The skills manifested by the leaders were clustered in the following areas: (a) building of trust and rapport, (b) diagnosis of the organization, (c) dealing with the process, (d) use of resources, (e) management of the work, and (e) developing skill and confidence in others (p. 153). Benefits of the teacher leadership roles ranged from increased self-esteem of the leaders themselves to creation of a stronger base for support groups and networks for professional development.

Wasley (1991) conducted three case studies of teachers who held leadership positions within their settings. Wasley



found that all three of the teachers were involved in a broader range of work than was usually suggested in current discussions regarding teacher leadership. Teachers were found "engaged in fund raising, peer research on teaching and learning, administrative training, experiential teaching, curriculum development and redesign, leadership training, consulting, collaborative problem solving, instructional diagnosis, and public relations" (pp. 169-170) just mentioning a few.

Wasley developed a definition of teacher leadership from study findings. Teacher leadership was defined "as the ability of the teacher leader to engage colleagues in experimentation and then examination of more powerful instructional practices in the service of more engaged student learning" (p. 170).

Hord et al. (1984) reported in their findings related to the role of the change facilitator (CF) in school improvement, the identification of two or more facilitators who assisted the principal's efforts. A second CF was filled by either an assistant principal, a teacher appointed within the school, a district level specialist or a curriculum coordinator. In each school studied, a teacher within the school assumed the role of a third CF. The second CF seemed to be involved in the training and daily work with individual teachers. The third CF appeared to serve an important role in interpreting and disseminating

information, as well as modeling the school change effort for other teachers. The third CF was usually respected by peers as a leader due to prior knowledge and experience with the innovation.

Hord et al. found that the principal's CF style influenced the location of the second CF. Initiator and manager style principals tended to organize and use staff within the school to facilitate implementation. Responder style principals tended to wait for someone from outside of the school to initiate and maintain the change effort. Assistance was not structured internally or externally by the responder style principal.

Hord et al. concluded, "What is becoming quite clear is that the principal does not bear the weight of leadership responsibility alone. There are one or more helpers who participate in school leadership and facilitation of school improvement efforts" (p. 89).

Hall (1988) examining the role of the principal as leader of the change facilitating team, concluded, "It is the team of facilitators, under the lead of the principal, that makes successful change happen in schools" (p. 49). In schools with CF Teams led by initiator style principals, the dynamics of collegiality reported by Little (1986) were evidenced. Hall described "an intensity and vibrancy of interaction that compounds the effects of individual interventions and individual change facilitators resulting

in the CF Team as a whole accomplishing more than can be expected from the efforts of the individual facilitators" (p. 56). Additionally, the second CF made approximately the same number of interventions as the initiator style principal. Together, the interventions made between the two, were significantly higher than in schools with responder and manager style principals.

### Summary

The review of literature related to teacher leadership revealed growing concern for the involvement of teachers in school restructuring efforts and supported logic for having teachers assume leadership roles in reshaping schools. Current reform reports and views of scholars commenting on needed reform efforts, identified the need for teacher leadership in a collaborative or collegial setting. The small body of literature citing recent survey and case studies, described the nature of established teacher leadership positions e.g., grade-level chairs, department heads, and specialists, and provided insight into characteristics that distinguished teachers identified as teacher leaders.

Although rhetoric related to the need for leadership density and the enablement of leaders within the school environment (Schlechty, 1990; Sergiovanni, 1991) were evidenced in the literature, studies were lacking in examining the types and development of teacher leadership.

Hord et al. (1984) and Hall (1988) identified the emergent role of teachers assuming the roles of change facilitators working in conjunction with principals to implement change. These studies recognized the emergence of leadership behaviors in absence of an official, titled position. Identification, however, of the types of teacher leadership found without a titled position and the development of teacher leadership were lacking.

The finding of initiator style principals interacting with teachers acting as change facilitators (Hall, 1988; Hord et al., 1984) led to the focus for this study. Since initiator-led schools tended to be more successful in innovation implementation and the dynamics of the schools tended to be interactive with teacher change facilitators, the examination of teacher leadership in this type of setting seemed reasonable. Because an initiator style principal tended to work with other teacher change facilitators, a study of the nature and development of teacher leadership could be informed in an initiator-led school.

### **Conclusions**

A substantial body of literature related to effective schools research supported the identification of effective schools with distinguishable factors (Brookover & Schneider, 1975; Edmonds, 1979, 1981; Hunter, 1979; Lezotte et al., 1974; Purkey & Smith, 1983; Weber, 1971). Although the

number of correlates associated with effective schools differed (Edmonds, 1979, 1981; Purkey & Smith, 1983; Tomlinson, 1980), the correlate of strong instructional leadership on part of the school principal was commonly listed as a distinguishable factor.

The impact of principal behavior in improving school effectiveness was noted (Leithwood & Montgomery, 1986; Sweeney, 1982). The need to continue and intensify school effectiveness research by studying the average school (Mace-Matluck, 1987; Purkey & Smith, 1983; Sweeney, 1982) and examining the specific leadership behaviors that characterized instructional leadership (Sweeney, 1982) was determined.

The review of the three change models outlined by Havelock (1971), Havelock and Havelock (1973), and Paul (1977) provided an understanding of change. Discussions of the processes of change (Hall & Hord, 1987; Lipham et al., 1985; Owens & Steinhoff, 1976; Rossow, 1990) outlined actions and behaviors needed for successful implementation of an innovation. The concept of the linking agent (Havelock & Havelock, 1973; Paul, 1977) and the role of the change agent (Hall & Hord, 1987) provided insight into possible principal behaviors and types of leadership roles teachers could assume in implementing change.

The value of examining leadership in terms of behaviors or leadership style (Blake & Mouton, 1964; Fiedler, 1967;

Halpin, 1957) according to the situation (Fiedler, 1967; Hersey & Blanchard, 1977; Vroom & Yetton, 1973) was supported. The success of the initiator change facilitator style of principals in implementing change and in working with other teachers acting as change facilitators (Hall, 1988; Hord et al., 1984) was evidenced.

The value of examining the dynamics of the group and the interdependency of people within an organization (Fiedler & Garcia, 1987; Schmuck et al., 1977) was noted. The need for improving the effectiveness of people within the organization (Owens & Steinhoff, 1976) and tapping the talents, energy, and experience of teachers (Little, 1990) confirmed the value of examining the development of teacher leadership. The quality of work life and conditions of working (Darling-Hammond, 1984; Little, 1986; Lortie, 1975; Pratzner, 1984; Rosenholtz, 1989) established the need for examining teacher leadership within the school context.

The call for teacher leadership in restructuring schools was a focus of reform reports (Carnegie Forum on Education and the Economy, 1986; Devaney, 1987; Holmes Group, 1986) and educational reformers (Darling-Hammond, 1987; Maeroff, 1988; Schlechty, 1990; Sergiovanni, 1991). The nature of titled, leadership positions (Hatfield et al., 1987; Kenney & Roberts, 1984; Lieberman et al., 1988; Wasley, 1991) and the characteristics that distinguished teachers as leaders (Brownlee, 1979) were focal points for

educational researchers. Further, the involvement of teachers acting as change facilitators along with the principal (Hall, 1988; Hord et al., 1984) was identified.

Although the importance of teacher leadership and the concern for teacher involvement in the implementation of change were evidenced in the literature, studies were essentially lacking in examining teacher leadership development within the school context. Studies regarding teacher leadership tended to examine existing titled leadership positions found within the school and/or the district. Additionally, studies related to the role of the principal in developing teacher leadership were lacking.

Given a lack of conclusive evidence about teacher leadership, studies were therefore needed to explore the role of the principal in teacher leadership development. Such studies had the potential of providing a better understanding of the nature of teacher leadership as well as exploring the relationship of teacher leadership with principal leadership style. Contributing to a better understanding of the phenomenon of teacher leadership, this study examined the development of teacher leadership in a school led by an initiator, change facilitator style principal.

## CHAPTER 3

### RESEARCH METHODOLOGY

#### **Introduction**

Within this chapter, research methods used to examine the principal's role in the development of teacher leadership are described. The first section of this chapter describes strategies used to address the purpose of the study (Howe & Eisenhart, 1990). The second section describes the researcher's theoretical sensitivity (Strauss & Corbin, 1990) that led to the selection of a school context. The third section delineates the school context selected for study. The fourth section discusses the procedures used for data collection and analysis. The fifth section presents strategies that established trustworthiness of the study. The final section outlines assumptions and limitations of the study.

#### **Research Strategy**

Viewing the phenomenon of teacher leadership as a socially constructed phenomenon, this study was grounded in a "nonpositivist epistemological perspective" (Howe & Eisenhart, 1990 p.6). The research questions called for descriptive data gathered in a socially constructed environment (Tierney, 1987). A social construction of



reality was necessary in examining teacher leadership since by its very nature it was not an objective phenomenon external to the participants.

The study of teacher leadership required an interpretive paradigm (Peterson, 1985) or what Guba (1981) calls naturalistic inquiry, since related elements were subjective and needed to be interpreted primarily by participants within the school context. The researcher did not enter the study with preconceived notions about teacher leadership but instead attempted to understand the phenomenon from the perspective of the study participants.

Due to its descriptive purpose, the study employed qualitative methods (Guba & Lincoln, 1981) in a single case study design (Yin, 1989). The case study design enabled the researcher to investigate a complex social unit consisting of multiple variables (Merriam, 1988) that could be of potential importance in understanding the phenomenon, teacher leadership. Being "anchored in real-life situations" (Merriam, 1988, p. 32), the case study design allowed for a holistic account (Erickson, 1986; Marshall & Rossman, 1989; Merriam, 1988; Yin, 1989).

#### **Researcher's Theoretical Sensitivity**

Theoretical sensitivity (Strauss & Corbin, 1990) gained through professional and personal experience (pp. 42-43) in implementing school improvement programs as an

elementary school principal, enabled the researcher to purposely select (p. 179) the school site. The researcher was familiar with the literature (p. 42) on school change and had implemented a state sponsored school improvement program based on the effective schools research for a period of six years within the district of the selected school site. During that time, the researcher assisted other district elementary schools with implementation of similar improvement programs. As a result of these associations, the researcher was knowledgeable of school sites that could inform the study.

### **School Context**

The school context selected for this study, R.C.K. Elementary, was a large school, grades K-5, with a student body size of 650 and a staff of 50 full-time equivalent staff members. R.C.K. Elementary was situated in an urban area of a major western, metropolitan school district.

The school site selected represented a unique case and served a revelatory purpose (Yin, 1989). R.C.K. Elementary was unique in that the principal demonstrated the initiator change facilitator style as defined by Hall & Hord (1987). Additionally, the staff was participating in a school improvement program for the third year.

The determination of the principal demonstrating the initiator change facilitator style was decided initially through the researcher's familiarity with the initiator

description (Hall & Hord, 1987, p. 20) and the principal's matching leadership behaviors. The researcher's initial decision was subsequently confirmed in consultation with the principal's immediate supervisor and the head of the elementary division. Approval and cooperation for conducting the study at R.C.K. Elementary was obtained through district central office and from the site principal as well.

In addition to participation in the state sponsored school improvement program, R.C.K. Elementary was known to have a prior history of innovation. The principal and staff had implemented new curricular programs in the areas of reading, writing process instruction, and mathematics in selected classrooms and grade levels. Gardner's (1985) theory of multi-intelligence had been introduced and integrated with instruction in kindergarten through fifth grades. A schoolwide emphasis had been given to using alternative assessment procedures for evaluating student learning progress. Student portfolios were used at all grade levels. A revised reporting system was being used at the kindergarten level. The principal and selected staff members were also involved in the revision of the district elementary report card.

R.C.K. Elementary had the potential of serving a revelatory purpose (Yin, 1989) in that the researcher had access to observing and interviewing teachers who were

recognized both within the school and the district for their instructional expertise. Teachers from R.C.K. were involved in activities such as district curriculum task forces and staff development presentations for teachers. Selected teachers had received district sponsored, Excellence in Education awards for implementation of unique instructional programs. Thus, the potential for gaining insight from key participants who could inform the study of teacher leadership was apparent. The opportunity for examining teacher leadership that extended beyond the context of the school site was also probable.

### **Data Procedures**

#### **Data Collection**

The methodology of data collection was a flexible, open-ended process (Jorgensen, 1989) focused on the discovery of concepts, generalizations, and theories grounded in concrete human realities (Glaser & Strauss, 1967; Jorgensen, 1989; Strauss & Corbin, 1990). The role of the researcher was known to all participants. The researcher was viewed primarily as an observer observing and taking notes rather than as a participant performing as others within the site usually performed (Wolcott, 1978).

Data were collected across different dimensions of people, places, and activity (Denzin, 1978; Evertson & Green, 1986) in an effort to develop different images of

understanding (Smith & Kleine, 1986) that would inform and increase the vigor of the evaluative findings. Multiple data sources were used to triangulate data (Denzin, 1978; Mathison, 1988; Webb, Campbell, Schwartz, & Sechrest, 1966). The primary sources of data collection included field observations, document reviews, and interviews.

A case study protocol and a set of research questions (Yin, 1989) guided collection of data. The protocol included an overview of the case study project for presenting the case study to the participants, a time-line for scheduling field visits, an outline of questions that would guide the researcher's initial inquiry, and the identification of probable sources of evidence.

Entry into the school context was accomplished by meeting with the principal and providing a general overview of the study. Following consultation with the principal, a brief orientation to the study was given to the R.C.K. Faculty Council comprised of nine teacher representatives and to the entire staff during a general meeting. The study was presented as a case study of a school in the process of change. The research focus was stated as determination of the roles teachers as well as the principal took in facilitating change. To avoid possible bias, the researcher did not state specifically that the case study dealt with the phenomenon, teacher leadership. Identification of teacher leadership as a study focus was not revealed to

reduce the potential of influencing participant responses and ultimately biasing study findings.

Data were collected on a regular basis for a period of one semester. The researcher scheduled voluntary interviews lasting approximately 45 minutes with 14 teachers. Additionally, three interviews lasting approximately 60 minutes each were scheduled with the principal. As the study unfolded, the researcher determined through purposeful (Patton, 1980; Siedman, 1991) and theoretical (Strauss & Corbin, 1990) sampling the informants, incidents, situations, or events that had potential for informing the study. Contact with R.C.K. Elementary was frequent and consistent.

Initial questions that were used to guide data collection included:

1. What change processes within the school were accomplished through teacher leadership?
2. What social processes within the school influenced the development of teacher leadership?
3. What opportunities were provided by the principal to develop teacher leadership capabilities? Were teachers who were less likely to be leaders, influenced to become leaders?

These initial questions were refined and narrowed as additional data were collected. As concepts and their relationships were discovered to be relevant or irrelevant,

the initial research questions were refined and clarified.

Field observations were formal and informal (Yin, 1989). Formal observations included eight Faculty Council meetings, two general staff meetings, one supervisory principal-teacher meeting, and two parent meetings. Informal observations included teacher-teacher and principal-teacher interactions in the teachers' lounge, the office area, the teachers' work room, and while "passing" in the corridors. Additionally, field notes were gathered regarding the physical setting and demographics of the school.

Participants were selected for interview after being on site. In order to select participants who could inform the study of teacher leadership, purposeful sampling (Patton, 1980; Seidman, 1991) was used to gain maximum variation (Patton, 1980; Seidman, 1991) and sampling of extreme or deviant cases (Lincoln & Guba, 1985; Patton, 1980). Teachers who were identified as leaders by their peers and/or the principal were interviewed along with those who were not identified as leaders. The inclusion of nonleaders allowed sampling of deviant cases (Lincoln & Guba, 1985; Patton, 1980). The snowballing approach (Bertaux, 1981) was used to identify a chain of participants for interviewing. Hence, one participant led to the identification of another.

As new dimensions of teacher leadership emerged, theoretical sampling (Strauss & Corbin, 1990) on the basis

of theoretically relevant concepts guided participant selection. Interview participants were chosen who could maximize the opportunity to elicit data regarding variations among dimensions of teacher leadership categories, establish relationships between categories, and inform poorly developed categories (pp. 186-187).

Open-ended (Seidman, 1991; Yin, 1989) and focused (Yin, 1989) interviews were conducted with the principal and teachers. Each interview was audiotaped and transcribed to ensure accuracy of field notes.

The open-ended interviews were used to begin gathering information regarding the contextual nature of R.C.K. Elementary and to explore the nature of teacher leadership within the school site. Each interview began with a brief biographical description of the number of years the participant had been assigned to R.C.K. and general information regarding professional experiences. Two general forms of questions were asked in these interviews, questions that provided an overall picture of what was happening at R.C.K. and questions related to the participant's subjective experiences in the school.

Questions of the "grand tour" nature (Spradley, 1979) were initially asked in interviews, (i.e., What is happening here?; How did that come about?). The purpose of these questions was to provide a general orientation to R.C.K. Elementary. Grand tour questions were followed by mini-tour



questions (Seidman, 1991). These questions were related directly to the participant's experiences, (i.e., What changes have you seen since you have been here?, How were you involved?). The mini-tour questions provided insight into the participant's background and involvement in school change.

Questions of a subjective nature (Seidman, 1991) were asked to gain an understanding from the participant's perspective of the school context and the incidents or events related to teacher leadership. Questions of this nature included: (a) How have you felt about the changes that have occurred?; (b) How do you think the change was initiated?; (c) How would you describe the school as a metaphor?; and (d) What was it like for you?

Following in-depth interviews of an open-ended nature, focused interviews of shorter duration were conducted. These interviews, although still being of an open-ended nature (Yin, 1989), employed the use of a set of questions derived from analysis of prior interviews. Sample questions used with teachers in these interviews included:

- 1     Think about your relationship with the principal. What interactions have you had with the principal this year? What opportunities do you feel you have had as a result of your interactions with the principal?

2.     Think about the term teacher leadership. How would you describe teacher leadership? What kinds of

teacher leadership do you see happening here? Why is that kind of teacher leadership happening here?

Principal interviews followed a protocol similar to teacher interviews. Information was gathered to determine whether the principal thought teachers could be leaders, how teacher leadership could be described, how it emerged, the kinds of teacher leadership evidenced in the school, and what was done to foster the kinds of leadership evidenced.

School documents were collected consistently throughout the case study. Documents in the form of letters, memoranda, agendas, announcements, minutes of meetings, administrative documents such as the teacher handbook and project proposals, and a synopsis of school site programs were collected and reviewed. These documents were used to corroborate and augment evidence from other data sources (Yin, 1989).

### Data Analysis

#### General Process

Data collection and analysis were interrelated processes (Strauss & Corbin, 1990). As data were collected, cues within the data were analyzed and used to direct purposeful and theoretical sampling procedures for additional interviews and observations. The researcher was particularly concerned with gathering data that captured a wide range of aspects related to the phenomenon of teacher

leadership. Although the review of literature had informed the researcher of possible dimensions of teacher leadership, the researcher did not want to limit the view to what was represented in the literature.

As concepts related to teacher leadership emerged, they were considered on a provisional basis until repeated examples were either found in similar forms or were absent in subsequent interviews, observations, or documents (Strauss & Corbin, 1990). A concept's relevance was repeatedly analyzed by seeking relevance within the data.

Through a process of data conceptualization (Strauss & Corbin, 1990), incidents, events, and happenings were compared and named using conceptual labels. Incidents, events, and happenings that were identified in observation notes, interview transcripts, and documents were isolated and compared. Concept maps were used by the researcher to depict possible relationships and explore use of more abstract terms to name or label the concepts.

Concept labels were derived by grouping concepts that seemed to relate to a like phenomenon and forming categories (Strauss & Corbin, 1990). Concepts were grouped by looking for conceptual forms that, although somewhat different in nature, were directed to a similar outcome or process. As the categories developed, the properties and dimensions of each category were described and evaluated in terms of "conditions which give rise to it, the action/interaction by

which it is expressed, and the consequences it produces" (pp. 7-8).

Once the categories related to teacher leadership were specified, described, and determined to be well grounded in the data, the categories were related with one another forming cornerstones for a grounded theory of teacher leadership. The theoretical explanation of teacher leadership was once again grounded in the data and specified in terms of conditions, action/interactional forms, and resulting consequences (Strauss & Corbin, 1990).

In analyzing the emerging categories, the researcher looked for patterns or variations within the data. Patterns and/or variations found were accounted for and integrated into the emergent theory. Positive and negative samples for each category were sought in additional data collection and analyses.

As the categories of teacher leadership were described and found consistent within data incidents, activities, or happenings, the researcher examined the phenomenon of teacher leadership from the perspective of a process analysis (Strauss & Corbin, 1990). The emergent categories were examined to determine if there was a progression between categories or change in categories in response to given conditions. Hypotheses about relationships between categories were developed and revised as additional data were collected and analyzed.

### Coding Process

Strauss and Corbin's (1990) three major types of coding, open, axial, and selective, were used to analyze data. To facilitate the coding process, all data obtained from field observations and interviews were transcribed. Seidel, Kjolseth, and Seymour's (1988) computer software, "The Ethnograph", was used to code, recode, and sort data files into analytic categories. Line-numbered transcriptions were reviewed, with segments marked, displayed, sorted, and printed according to identified sequences. The segments sequenced and isolated were then used for comparative analysis of other similar or different categorized segments.

Open coding was used initially to break down the data into events/actions/interactions for comparison of similarities and differences. Emphasis was given at this stage of coding to the examination of any preconceived notions about teacher leadership or the initiator style principal against the data itself. Similar events, actions, and interactions were labeled and grouped to form categories related to teacher leadership. Concepts were labeled by identifying them in terms of properties and dimensions.

Axial coding was used to examine categories identified in the open coding stage. Categories were related to subcategories and tested continuously against the data. Data were scrutinized at this stage to determine additional

conditions of each category, the specific context, action/interactions used for responding, and the consequences of any action/interaction taken. Incoming data were consistently analyzed in terms of the developing categories. As new categories emerged from the data, existing categories were continuously modified. Specifications of differences and similarities among and within categories were considered critical.

Selective coding was the process used to gain conceptual density and specificity. All of the categories were refined and unified around the core category of teacher leadership. Each identified category was defined in terms of conditions, actions/interactions, and consequences that were related to teacher leadership. Ambiguities found between categories and definitions lacking clarity were revised. Statements denoting relationships between categories were validated with the data.

#### Conditional Matrix Analysis

Development of matrix. The categories and subcategories related to teacher leadership were further analyzed with conditional matrix analysis using the procedures outlined by Strauss and Corbin, 1990. Conditional paths were traced by "tracking an event or incident from the level of action/interaction through the various conditional levels, or vice versa, to determine how they relate" (p. 166). Conditions and consequences were

directly linked with action/interaction. The levels in which conditional paths were traced for this study included the following: (a) action pertaining to the phenomenon of teacher leadership; (b) interaction; (c) group, individual, and collective; (d) sub-organizational and sub-institutional and (e) organizational and institutional (p. 163).

Function of conditional matrix analysis. The conditional paths were analyzed to show the relevance of different matrix levels with the phenomenon of teacher leadership. An analysis of the broader conditions of each level was necessary to analyze changed action occurring in response to changed conditions. The immediate set of conditions that had bearing upon an action were considered worthy of noting as well as the surrounding history, "together, past and present become part of the future" (p. 172). The researcher analyzed conditions to determine what affected a given action/interaction either facilitating or hindering its movement or change over time.

### **Trustworthiness**

The criteria outlined by Guba (1981) and Lincoln and Guba (1985) for establishing trustworthiness of naturalistic inquiries were used in this study (cf. Marshall & Rossman, 1989; cf. Merriam, 1988; cf. Yin, 1989). The criteria used included the following: credibility, transferability, dependability and confirmability. Methods used to meet the four criteria in this study were summarized in Figure 1.

Qualitative Criteria	Methods
Credibility (internal validity)	Triangulation Persistent, repeated observation Peer debriefing Member checks Documentation
Transferability (external validity)	Thick, descriptive data Theoretical, purposeful sampling
Confirmability (internal reliability)	Triangulation Chain of events
Dependability (external reliability)	Case study data base Chain of events

Figure 1. Criteria and methods for establishing trustworthiness of case study.

### Credibility

Data and methodological triangulation (Mathison, 1988) were the primary means for establishing credibility in this study. Multiple data sources were used. A number of individuals were interviewed, observations were made of varied situations within the school setting, and varied documents were collected.

Multiple methods were used for between-methods triangulation (Denzin, 1978). Methods used included: (a) extended interaction with the school site through persistent, repeated observation; (b) peer debriefing with members of the dissertation committee reviewing case study data base; (c) member checks to test analyses and interpretations against data source groups; and



(d) documentation to establish referential adequacy to test findings and interpretations (Guba, 1981). Explaining the rationale for using between-methods triangulation, Denzin (1978) stated, "the flaws of one method are often the strengths of another; and by combining methods, observers can achieve the best of each while overcoming their unique deficiencies" (p. 302).

### Transferability

Set in a social/behavioral, naturalistic inquiry, transferability of the study was context-bound. Unlike a positivistic study, findings of this study were descriptive or interpretative of the given context and did not have general applicability. The results of this study should be transferred only to similar participants in a similar context.

The researcher attempted to collect thick descriptive data to provide information necessary to test the degree of fittingness of this study's context with other possible contexts (Guba, 1981, p. 86). The thick descriptions of the researcher with regard to findings and contextual factors were included to provide means for making judgements regarding possible transferability.

In addition to the collection of thick descriptive data, another means for establishing transferability included the use of theoretical and purposeful sampling. The researcher sampled on the basis of (a) emergent insights

about what was considered important and relevant, and (b) intentions of maximizing the range of information gathered (Guba, 1981). Differing points of view related to the phenomenon of teacher leadership were sought from study participants.

### Confirmability

As noted in relation to credibility, triangulations of data and methods were used to establish data and interpretational confirmability. The researcher employed the strategy noted by Guba (1981), "collecting data from a variety of perspectives, using a variety of methods, and drawing upon a variety of sources so that an inquirer's predilections are tested as strenuously as possible" (p.87).

A chain of events, or as referred to by Yin (1989), a chain of evidence was developed. All records such as raw data, field notes, and products resulting from data analysis were organized and categorized in a case study data base.

Procedures outlined by Yin (1989) for maintaining a formal chain of evidence were followed. These procedures included (a) sufficient citation; (b) circumstances under which evidence was collected, i.e., time and place of interview; (c) consistency with procedures and questions outlined in case study protocol; and (d) indications of the link between the content of the case study protocol and the research questions (p. 182).

### Dependability

Being concerned with stability of data (Guba, 1981) rather than replication in a naturalistic study, the researcher established dependability using a case study data base and an audit trail. Procedures outlined by Yin (1989) were used to develop a formal, retrievable data base that could be used by other researchers to review the evidence collected. The case study data base was separate from the case study report. It included the researcher's field notebook, case study protocol, interview transcripts, and documents collected during the case study.

The audit trail or chain of event/evidence established "explicit links between the questions asked, the data collected, and the conclusions drawn" (p. 84). Care was taken to ensure that all evidence was considered in the study. As explained by Yin (1989) in comparison with criminological evidence, the process was "tight enough that evidence presented in 'court'--the case study report--is assuredly the same evidence that was collected at the scene of the 'crime' during the data collection process" (p. 102).

### **Assumptions of the Study**

#### Assumption 1: Initiator Change Facilitator Style

The initiator change facilitator style of principals as hypothesized by Hall et al. (1982), Hord (1981), and Rutherford (1981) conceptualized a principal leadership

style in facilitating change.

#### Assumption 2: Case Study Research Strategy

The case study strategy was appropriate for studying the phenomenon of teacher leadership within a real-life context. The strength of the case study was in the ability to draw from a variety of evidence, e.g., documents, interviews, and participant observations (Yin, 1989). Further, since no causal links between principal leadership style and teacher leadership had been previously established in the literature and teacher leadership had not been previously analyzed with a single set of outcomes, the exploratory and descriptive nature of the case study design was appropriate.

### **Limitations of the Study**

#### Limitation 1: Sample Size

A single case study size limited the transferability of study findings. Although, the strength of qualitative, naturalistic inquiry was not in the general applicability of findings but rather in the description or interpretation of the given context, findings from this study to a different context were limited.

#### Limitation 2: Generalizability

As noted in the sample size limitation, the generalizability of findings from this study were limited.

Although generalizability was not an aim of this study, attempts to generalize or transfer study findings should be limited to a similar social context, conditions of research, and sample participants.

#### Limitation 3: Replication

Although the aim of the case study was to enhance dependability in order to ensure stability of data rather than to enable replication, the uniqueness of the school social setting and the capabilities of the researcher limit replication efforts by others. The case study data base and the chain of evidence were developed in this study for the purpose of demonstrating data stability and developing thick descriptive data that would permit comparison of the given context with a degree of fittingness with another context. These research procedures did not enable replication by other researchers with a different sample in a different context. As a result, reports by other researchers may produce varying results.

#### Limitation 4: Prolonged Engagement

The study was limited to a period of one semester. This limited the examination of teacher leadership over a period of time. Although frequent and persistent observations were maintained throughout the study, documentation regarding changes in teacher leadership and factors influencing the development of teacher leadership

over an extended period of time were limited.

## CHAPTER 4

### FINDINGS OF THE STUDY

#### Introduction

Within this chapter, findings on the principal's role in the development of teacher leadership are presented. Three research questions guided data collection and reporting of findings.

1. What is the nature of teacher leadership that emerges within the school context?
  - a. What forms of leadership do teachers demonstrate?
  - b. How are these forms of leadership, if at all, related to the principal's actions, behaviors, and thoughts?
  - c. What actions, behaviors, and thoughts of teachers suggest the emergence of teacher leadership styles?
2. What actions, behaviors, and thoughts of the principal foster the development of teacher leadership?
3. What change process activities were influenced or facilitated by teacher leadership?

As data were collected, trends in the nature of teacher

leadership emerged as well as modes of actions, behaviors, and thoughts of the principal in fostering the development of teacher leadership. These trends and modes were translated into categories that were grounded in the data. The categories were then examined to determine whether there was a progression between categories reflected by developmental phases or stages.

The first section of this chapter describes the nature of teacher leadership evidenced within the social context of R.C.K. Elementary. Seven categories of teacher leadership are discussed. These categories include (a) anointed, (b) task, (c) status, (d) scholarly, (e) instructional, (f) collegial, and (g) professional teacher leadership.

In the second section, the actions, behaviors, and thoughts of the principal that fostered the development of teacher leadership are described. Four categories which emerged from the data are presented. These categories include (a) communication, (b) maintenance, (c) enablement, and (d) transition factors.

The third section includes a description of the change process activities within R.C.K. Elementary that were influenced or facilitated by teacher leadership. The process activities are related to (a) instruction, (b) curriculum development, and (c) school improvement.

The fourth and final section of this chapter delineates



the progressive phases or stages of teacher leadership that emerged from process analysis of data. These stages include (a) self, (b) collaborative, and (c) transformational leadership.

### **The Nature of Teacher Leadership**

#### Overview

The nature of teacher leadership was derived from interviews in which teachers and the principal were asked to define teacher leadership. The perspectives of the teachers and the principal were similar. Teacher leadership was uniformly described from a social interaction perspective. The activities of teacher leaders were depicted in relation to their interactions with others. Teacher leaders were viewed as colleagues who (a) sought professional development, (b) were engaged in collaborative experimentation, (c) were perceived by peers and administrators as demonstrating a high level of confidence and instructional expertise, (d) were actively involved with others in the implementation of new instructional programs, and (e) were empowered by others to make choices and decisions regarding instructional programs as well as school improvement programs.

Specific findings characteristic of teacher and principal perspectives of teacher leadership follows. The teacher perspective represents input received from 14

teachers.

### Teacher Perspective

A central theme, reflected by Mrs. Hanks, "a leader among peers",<sup>1</sup> pervaded teachers' perceptions regarding teacher leadership. Moreover, the activities or behaviors that were described as being characteristic of teacher leadership were related to peer rather than teacher-administrator interactions. For example, Mrs. Russell captured the peer focus when she reported that teacher leaders "take the different personalities of teachers and help them work together...with their own classes".<sup>2</sup> Finally, teachers who were perceived as leaders by their peers were portrayed as being growth oriented, involved, confident, validated, and empowered.

Growth-oriented. Teacher leadership was noted by Mrs. Buckley as recognizing that "you can grow yourself" and "take charge of your own growth in the classroom". In other words, "a big part of leadership is that you will take a risk and that you will try new things and change, not be stagnant".<sup>3</sup> Teacher leaders were thus pictured as accepting responsibility for their own growth rather than relying on others to initiate and facilitate the process.

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<sup>1</sup>Interview, December 12, 1991.

<sup>2</sup>Interview, December 11, 1991.

<sup>3</sup>Interview, December 18, 1991.

Additionally, teacher leaders were characterized as teachers who extended themselves beyond standard expectations. Mrs. Cummings revealed this characteristic when she described teacher leaders as those who were willing to "go beyond what is expected of them, what they are paid for".<sup>4</sup>

Involved. Participation in a leadership role, whether identified formally by a titled position within the school or informally by a peer-perceived position, was associated with active, consistent involvement. Teachers who held formal positions such as grade level or faculty council representatives, were active in planning, coordinating, and providing input for school events such as grade level academic festivals and community charity projects. Teachers who were perceived by peers to be leaders were sought on an informal basis to assist with classroom projects being implemented or to give guidance in how to implement different instructional strategies. For example, Mrs. Hanks concluded, "Leaders among peers share expertise, give inservices".<sup>5</sup>

Confident. Teacher leadership entailed a sense of belief about self and confidence in one's abilities. Teacher leaders were identified by Mrs. Mott as those who "come in with great ideas...and are leaders in that respect

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<sup>4</sup>Interview, December 12, 1991.

<sup>5</sup>Interview, December 12, 1991.

because they have been given the confidence".<sup>6</sup> Expressions of confidence were best described by Mrs. Mott's affirmation, "By golly we're going to see to it that they get done because we believe in them".<sup>7</sup>

Validated. Validation by peers and the principal was noted as an essential component of teacher leadership. Teacher leaders were perceived as those who had credibility and were respected for their ideas and capabilities. For example, Mrs. Evans viewed teacher leaders as "someone who definitely has ideas that are worth sharing and can be looked up to and be respected".<sup>8</sup> Being validated as an expert in a given area or "a model to more or less copy or get ideas from",<sup>9</sup> was mentioned by Mrs. Evans as being characteristic.

A teacher leader was perceived as someone who was validated by the principal for specific ideas, for statements made, and for actions taken in the classroom. For example, Mrs. Baxter perceived a teacher leader as someone who could say:

I'm not going to teach spelling because of this or that, or I'm going to be experimenting with this. It may just be terrible. If it is I'll quit but I am

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<sup>6</sup>Interview, October 28, 1991.

<sup>7</sup>Interview, October 28, 1991.

<sup>8</sup>Interview, December 11, 1991.

<sup>9</sup>Interview, December 11, 1991.

going to try it.<sup>10</sup>

Empowered. An inherent quality of teacher leadership was empowerment by peers as well as the principal. Teacher leaders were considered to be empowered to make choices and decisions regarding their instructional program. Some teachers perceived this empowerment as the freedom to take action. Mrs. Henson noted:

I think the ability to choose the way you write lesson plans. To know what is best for our particular class and for us as teachers. Not to be told that you need to have a certain amount of reading groups or that you have to use a certain text....Where every step isn't monitored and [you have] the freedom to do.<sup>11</sup>

#### Principal Perspective

The principal, Mr. Riggins, envisioned teacher leadership much as teachers described the phenomenon. He depicted teacher leaders as being "born out of curriculum and instructional"<sup>12</sup> expertise. Beginning with leadership in the classroom, Mr. Riggins noted that teacher leaders eventually contributed beyond the classroom setting. Furthermore, according to Mr. Riggins, credibility emerged as the key descriptor for teacher leadership:

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<sup>10</sup>Interview, October 18, 1991.

<sup>11</sup>Interview, October 22, 1991.

<sup>12</sup>Interview, December 18, 1991.

There has got to be some basis there I think for establishing credibility....as a teacher in the classroom. And maybe through their knowledge, their ability, their enthusiasm, their willingness to contribute, work, and be a leader....[then] there has to be some generalizing to the school or the grade level.<sup>13</sup>

### Social Context

The social context of R.C.K. Elementary seemingly fostered an environment conducive to the expression of teacher leadership. The prevailing feeling that characterized the social context was expressed by Mr.

Hooper:

Everything depends on attitude and how people feel about themselves. People around here feel that being a teacher is a big important deal. It makes everybody else feel like they are a part of a big important deal....They are doing something special, something more....Just doing your job around here, that would be to fail.<sup>14</sup>

This statement reflected the sense of pride and feelings of professionalism felt by some teachers.

Along with a sense of pride and professionalism, an

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<sup>13</sup>Interview, December 18, 1991.

<sup>14</sup>Interview, December 12, 1991.

overall sense of collegiality was found. The collegiality was represented initially by respect for the individual, followed by a concern for supporting and encouraging individual and/or group efforts, and reflected ultimately by a celebration of accomplishments.

Statements regarding respect for the individual were frequently mentioned in teacher interviews. The respect evidenced implied cooperation rather than separateness. Although individuals were respected, they were not viewed as set apart from the group. Mrs. Evans imparted the spirit of respect when she described peer interactions, "We liken ourselves to a quilt. Everybody has their own way of doing things, their own style. We are all very different and yet when we need to, we work together".<sup>15</sup> A similar spirit was shared by Mrs. Mott, "It's diversity that helps us to grow... You are entitled to your opinion and I respect your opinion for what it is."<sup>16</sup>

Support and encouragement for peers was manifested in both a collegial and somewhat competitive context. As alluded to by Mrs. Russell, teachers were portrayed as collegial, "constantly helping each other, reinforcing, and working together".<sup>17</sup> Likewise, Mrs. Mott depicted peer sharing as a gracious gesture, "I would love

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<sup>15</sup>Interview, December 11, 1991.

<sup>16</sup>Interview, October 28, 1991.

<sup>17</sup>Interview, December 11, 1991.

to share some ideas with you if you have time".<sup>18</sup>

Competition, however, was expressed in a positive, yet prodding nature. Mr. Hooper summarized the feeling, "There is sort of a positive competition. People trying to just make sure their doing their part. Kind of like a big poker game where everybody just keeps anteing up".<sup>19</sup> Mrs. Whipple also alluded to a sense of competition in discussing a curricular change, "Because people were successful, I think other people picked up the banner and went on with that. It leaves you so you just don't sit back and rest on laurels of the past".<sup>20</sup>

The celebration of accomplishments was typified by Mrs. Hanks, "I feel applauded by my colleagues...it's sincere".<sup>21</sup> Celebrations also extended to simple staff gatherings. For example, Mrs. Mott indicated, "When we are together, we love being together. We share a lot of personal interests...a lot of us enjoy being together socially".<sup>22</sup>

Since the social context of R.C.K. Elementary seemed to be a factor in setting an environment for teacher leadership, inquiries were made to determine whether the

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<sup>18</sup>Interview, October 28, 1991.

<sup>19</sup>Interview, December 12, 1991.

<sup>20</sup>Interview, December 18, 1991.

<sup>21</sup>Interview, December 12, 1991.

<sup>22</sup>Interview, October 28, 1991.



context was shaped by teachers or the principal. When asked to separate what teachers and the principal did to promote such an environment, teachers identified the context as coming from their interactions rather than something created or directed by the principal. For example, Mr. Hunter shared, "I think that the staff really put themselves together....I don't think that it is something that an administrator directed".<sup>23</sup> Mrs. Henson related that the previous administration fostered dissension between the staff and the principal. In spite of this dissension, Mrs. Henson indicated that the staff remained close, "As long as I can remember, people who have come here say how close the staff is".<sup>24</sup> Although Mr. Riggins was not viewed as creating the collegial environment, he was viewed as endorsing the closeness of the staff and promoting the collegial tradition.

#### Categories of Teacher Leadership

Seven categories of teacher leadership were grounded in the data. The categories represented varied forms of teacher leadership that included a rich mixture of social interactions and an instructional focus. A density of leadership was found with some teachers demonstrating more than one form of leadership. Further, the number of

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<sup>23</sup>Interview, October 28, 1991.

<sup>24</sup>Interview, October 22, 1991.

teachers demonstrating given forms of leadership appeared unlimited. Generally, teacher leadership emerged as being associated with certain actions and behaviors rather than being limited to role-titled positions. Findings related to each leadership category follows.

#### Anointed Teacher Leadership

Anointed teacher leadership (ATL) emerged as a form of teacher leadership that was expressed through formal titled positions such as committee chairs or representatives assigned by peers and/or the principal. This form of leadership was noted in school documents listing grade level chairs and faculty council representatives.<sup>25</sup> References were also made in principal and teacher interviews, regarding positions teachers were placed in charge of such as (a) student council; (b) staff functions including a whole language support group, safety committee, and teacher coke fund; as well as (c) district activities involving representation of the school in staff development training workshops.

The ATL category of teacher leadership was one of the most visible forms of teacher leadership within R.C.K. For example, faculty council representatives were starred on staff lists and included in faculty council agendas posted

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<sup>25</sup>Staff list and faculty council meeting agendas.

for reference near teacher mailboxes.<sup>26</sup>

Teachers who held formal representative or committee positions were generally recognized by the principal and peers as having expertise and influence. Mrs. Evans, a grade level chair, cited in reference to the principal, "He tells me that he respects what I do. If there is something to be done, he always asks if I would like to be a part of it".<sup>27</sup> Likewise, Mrs. Lukin remarked that the faculty council representatives were, "the leadership group per say...made up of some of the most respected people on the faculty...[who] if they totally disagreed with [the principal], could change his mind".<sup>28</sup>

Involvement in an assigned leadership position was viewed as often leading to other positions of leadership. For example, Mrs. Evans mentioned she was selected for participation on a school improvement committee and, "from that weaved right on to the faculty council".<sup>29</sup>

#### Task Teacher Leadership

Task teacher leadership (TTL) was similar to ATL in that teachers were assigned or referred by peers and/or the principal for participation in a leadership role. The

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<sup>26</sup>Observation, September 11, 1991.

<sup>27</sup>Interview, December 11, 1991.

<sup>28</sup>Interview, October 28, 1991.

<sup>29</sup>Interview, December 11, 1991.

difference, however, was that TTL did not necessarily suggest a formal leadership position. Instead, TTL represented those times that teachers completed tasks requiring skill in planning, coordinating, organizing, and conducting an event or activity without an explicit, leadership position title attached. For example, Mr. Riggins assigned certain teachers the task of reading a book related to Gardner's (1985) theory of multi-intelligence. Mrs. Mott indicated that the teachers were selected, "from each grade level to...read it and kind of digest it over the summer...it came down to us [later] in a revised, easier to understand format".<sup>30</sup>

TTL was evidenced in varied forms. Examples that were collected from observing faculty council meetings included (a) locating information regarding a school community service project conducted to provide homeless children with mittens, (b) contacting other schools to determine a better solution for tracking playground equipment, (c) organizing the retrieval of classroom news for the R.C.K. newsletter, (d) being asked to become familiar with specific instructional materials and reporting general impressions to staff members, and (e) assuming the responsibility for taking notes regarding committee meetings that would be eventually reported to the general staff.

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<sup>30</sup>Interview, October 28, 1991.

### Status Teacher Leadership

Status teacher leadership (STTL) was found in principal and teacher interviews, but on a limited scale. Mr. Riggins referred to, "established leaders that either through tenure here or external recognition of their expertise",<sup>31</sup> held positions of leadership among the staff. The established leaders were not always perceived positively. For example, Mr. Riggins indicated that some of the teachers reinforced by the previous administration as leaders moved on due to a lack of recognition within his administration.

STTL was observed being associated primarily with tenure. Typically, when the researcher asked teachers who should be interviewed about teacher leadership, they often mentioned teachers who had been in the school for an extended period of time, i.e., 14 to 20 years. Mr. Hunter suggested,

I think that it is always good to get the black and white perspective. If you talked with somebody brand new to this school, you might find a real different view of things than someone who has been here since the school was opened.<sup>32</sup>

Surprisingly, when Mrs. Whipple, a 14-year veteran in the school, was interviewed, her perceptions of teacher leadership were similar to others interviewed. For example,

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<sup>31</sup>Interview, December, 18, 1991.

<sup>32</sup>Interview, October 28, 1991.

in response to changes observed in the school during the tenure of Mr. Riggins, Mrs. Whipple indicated, "I see teachers feeling much more...freedom to do the things they would like to do without feeling threatened. They can do it more in the open, instead of doing it in the closet".<sup>33</sup>

This was a view also held by Mrs. Russell, a first year teacher, "I was just able to go to him with that idea...he just told me I should find what is comfortable...the one [idea] I decided on is working real well".<sup>34</sup>

A graphic example of STTL in action was related by Mr. Riggins. According to Mr. Riggins, a staff member proposed using funds from the teacher coke fund to hire a band for a staff Christmas party. A group of five teachers voiced strong disagreement against the expenditure. Rather than have the expenditure issue divide the staff, Mr. Riggins paid for the band himself. Following the staff party, Mrs. Gossinger, a 19-year tenured teacher in charge of coke fund disbursements, gave Mr. Riggins a check covering the band expense. When Mr. Riggins questioned whether everyone would agree, Mrs. Gossinger indicated, "We give you money every year and here it is. Don't worry about everyone agreeing".<sup>35</sup>

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<sup>33</sup>Interview, December 18, 1991.

<sup>34</sup>Interview, December 11, 1991.

<sup>35</sup>Interview, December, 18, 1991.

### Scholarly Teacher Leadership

Scholarly teacher leadership (STL) was found in the form of "active learners"<sup>36</sup> seeking "professional knowledge".<sup>37</sup> Teachers who demonstrated STL were viewed by Mr. Riggins as bearers of knowledge who "learned everything there is to learn"<sup>38</sup> about a topic. Mr. Hooper described this form of leadership as simply being "smart".<sup>39</sup>

STL included using a variety of ways for keeping abreast of current research or trends in education. Examples were (a) seeking a graduate degree, (b) attending professional organization meetings such as the local chapter of the International Reading Association, (c) attending school-site and district staff development activities, (d) subscribing to and reading professional journals, and (e) contemplating how school priorities conformed with personal classroom priorities.

### Instructional Teacher Leadership

Instructional teacher leadership (ITL) emerged as an extension of the STL category. Whereas the STL category described active acquisition of professional knowledge, the

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<sup>36</sup>Interview, October 28, 1991.

<sup>37</sup>Interview, December 11, 1991.

<sup>38</sup>Interview, October 8, 1991.

<sup>39</sup>Interview, December 12, 1991.

ITL category depicted active implementation of professional knowledge. A teacher practicing ITL was viewed as both a receiver and user of information, applying information gained.

Examples of ITL included (a) consistently developing new ideas, (b) integrating strategies learned with current instructional programs, (c) reflecting on present practice, and (d) inviting observation and dialogue regarding new instructional methods. Developing new ideas was represented by the metaphor of "innovator".<sup>40</sup> An innovator developed "checklists and forms"<sup>41</sup> needed for curricular programs, brought in "more hands on approaches", used "literature [with] whole language strategies",<sup>42</sup> played a "role in curriculum development"<sup>43</sup> within R.C.K. Elementary, and "experimented successfully"<sup>44</sup> with different instructional methods.

The integration of strategies learned with current classroom practice was demonstrated by teachers matching expected curricular objectives with newly developed strategies. For example, a first grade teacher adapted district curricular objectives by sequencing them

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<sup>40</sup>Interview, October 8, 1991.

<sup>41</sup>Interview, October 22, 1991.

<sup>42</sup>Interview, November, 13, 1991.

<sup>43</sup>Interview, December 12, 1991.

<sup>44</sup>Interview, December 18, 1991.



differently to meet the needs of students in a literature based rather than a basal driven program. Another kindergarten teacher integrated district curricular objectives with Gardner's (1985) seven areas of intelligence using thematic units.

One feature of ITL was being a reflective teacher. Traditional practice was questioned and new instructional strategies were critically reviewed before being implemented. Additionally, reflections were made regarding needed revisions in instructional programs and lesson presentations. Mrs. Baxter, following the implementation of whole language strategies, reflected on traditional grading procedures and revised student assessment to include the use of portfolios. Mr. Riggins viewed teachers demonstrating ITL as "pulling the best from here and the best from there, not getting too far extreme".<sup>45</sup>

Inviting observation and dialogue, a final feature of ITL, was described by Mr. Riggins as, "sharing proven methods and materials [both] informally and formally".<sup>46</sup> Teachers demonstrating ITL influenced change within the school through modeling of strategies for others, sharing of ideas in staff meetings and staff development activities, and assisting or mentoring new staff. Mr. Hunter claimed, "I think that I bring to change [in the school] what I do in

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<sup>45</sup>Interview, October 18, 1991.

<sup>46</sup>Interview, December 18, 1991.

my classroom. The best way to influence the other teachers is through what I do in my classroom".<sup>47</sup> Mr. Riggins indicated that Mr. Hunter through modeling of instructional strategies, "single handedly changed the grade level more than I ever could".<sup>48</sup>

### Collegial Teacher Leadership

Collegial teacher leadership (CTL) occurred when teachers networked or linked with staff members for the purpose of dialoguing, brainstorming, sharing, developing, and assessing new strategies being considered for implementation. CTL appeared to be a key factor in influencing change processes within the school. Teachers who demonstrated CTL were observed (a) publicizing what staff members were doing, (b) encouraging others to participate in change efforts, (c) supporting the efforts of those involved, and (d) suggesting ways staff members could assist one another. The essence of CTL was voiced by Mrs. Mott, "I see leadership is more of a body of ideas than a single idea coming down from one person....a collaborative group of leaders".<sup>49</sup> Further, Mrs. Snadely indicated, "It doesn't mean that this one person has all of the

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<sup>47</sup>Interview, October 28, 1991.

<sup>48</sup>Interview, October 8, 1991.

<sup>49</sup>Interview, October 28, 1991.

responsibility...it is more sharing".<sup>50</sup> Collaboration and sharing was characterized by Mrs. Evans, "just kind of feeling the waters together",<sup>51</sup> while Mrs. Russell cited, "feeding from each other...turning out different flavors".<sup>52</sup>

### Professional Teacher Leadership

Professional Teacher Leadership (PTL) evolved as the most complex type of teacher leadership, extending from personal leadership expressed in the classroom to a collaborative leadership expressed both within and outside of R.C.K. Elementary. PTL integrated aspects of all other forms of teacher leadership. Teachers who demonstrated PTL were (a) affiliated with professional organizations, participating as members and presenters for locally and nationally sponsored events; (b) recipients of awards given in recognition of instructional expertise and involvement in school change efforts; (c) involved in the setting of R.C.K. goals; and (d) viewed as challenging traditional practice by altering and initiating new programs at the classroom, school, and district levels.

Teachers who aligned with the category, PTL, exhibited a sense of excitement and risk taking. Mrs. Buckley

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<sup>50</sup>Interview, November 12, 1991.

<sup>51</sup>Interview, December 11, 1991.

<sup>52</sup>Interview, December 11, 1991.

affirmed, "I think that we were just so excited about the whole idea [of whole language] that it just kind of...went through the school."<sup>53</sup> Similarly, Mr. Hooper commenting on teacher professionalism indicated,

I think there is a lot to be done in just modeling the kind of teacher professionalism that you want a staff to have. If there is an inservice that is voluntary, to be there, to seem excited and to stimulate conversation about it. To make sure it is not just something that is done to you but something you are a part of....If a few key people come in and are enthusiastic and interact with the information, it can make all the difference in the world.<sup>54</sup>

In addition to a high level of excitement, PTL was also characterized by active engagement in problem solving. Referring to a new multi-aged classroom implemented by two teachers during the current school year, Mr. Riggins contended,

We did a lot of problem solving together. I have got to tell you, I can not take that much credit for this. They worked really hard on making this successful. They worked on the nuts and bolts of making sure that everybody is still buying in, that it is organized, and

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<sup>53</sup>Interview, December 18, 1991.

<sup>54</sup>Interview, December 12, 1991.

that it makes sense to the kids and the parents.<sup>55</sup> Whether being involved in problem solving or taking risks, a spirit of collaboration persisted among teachers demonstrating PTL.

#### Summary of Teacher Leadership

The principal characterized teacher leaders as those who initially established credibility in the classroom. Acquisition and recognition of expertise in a given area was viewed as an essential component of leadership behaviors.

Teachers associated varied behaviors with teacher leadership. The behaviors included an orientation to professional growth, involvement in school and district functions, expressions of self-confidence, a feeling of being validated by peers and the principal, and a sense of empowerment or control over instructional aspects of classroom and school programs.

Seven categories of teacher leadership were part of a social context that promoted and supported a collegial environment. Some categories were more clearly detected such as assuming leadership of a given task, while others were more complex such as influencing a change process within R.C.K. Elementary. Collectively, the categories reflected diversity and density in the nature of teacher leadership within the context studied. Teacher leadership

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<sup>55</sup>Interview, October, 8, 1991.

emerged as being something more than a titled leadership position within grade levels and committee structures, a view commonly associated with teacher leadership (Wasley, 1991).

### **Principal's Actions, Behaviors and Thoughts**

Specific actions, behaviors and thoughts of the principal, Mr. Riggins, were observed as being associated with and promoting the development of teacher leadership. These actions, behaviors, and thoughts were grouped into four categories of factors: (a) communication, (b) maintenance, (c) enablement, and (d) transformation.

#### Communication Factors

Communication factors (CF) were behaviors, actions, and thoughts of the principal that (a) inform, (b) inquire, and (c) dialogue. Each of these factors contributed to staff communication regarding activities related to teacher leadership.

Inform. The CF, inform, was found in written and oral communications by Mr. Riggins. When contemplating or implementing a program, Mr. Riggins informed staff and parents through memos and letters, advertising proposed programs. For example, when a multi-aged class was being formed, a series of letters was sent to parents describing the instructional program that two teachers were developing. The communications sent suggested excitement for proposed

changes. An excerpt from one of the parent letters demonstrated Mr. Riggins' flair for informing enthusiastically:

The addition of a multi-age classroom ...is an exciting event that will begin in August. The teachers and staff look forward to this dramatic change with great enthusiasm and plans are being developed throughout the summer to ensure that the year is a successful one. This letter is to provide you with information about math instruction in the classroom. Others will follow throughout the summer about other aspects of the curriculum.<sup>56</sup>

"Monday Memos", written by Mr. Riggins to the staff each week, reflected the attention given to informing teachers of events or actions that could influence growth in teacher leadership. For example, the staff was made aware of district consultants who were available following staff development sessions, "She will also be available in the office to discuss math strategies with anyone who is interested during the day...please make arrangements with her".<sup>57</sup>

Opportunities were made available for teachers to increase scholarly efforts. Articles related to R.C.K. priorities and/or new instructional strategies were shared

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<sup>56</sup>Document, parent letter, July 9, 1991.

<sup>57</sup>Document, memo, November 25-29, 1991.

regularly. Reminders appeared in memos, "I'm putting Education Week upstairs each week for you to read if you're interested".<sup>58</sup> Mrs. Baxter having expressed an interest to Mr. Riggins regarding whole language commented, "It was not unusual for him to put a copy of some piece of research that he had come across that dealt with whole language in our boxes".<sup>59</sup>

Inquire. Mr. Riggins often asked teachers to research a given topic that appeared to have relevance to R.C.K. Elementary. For example, the librarian was assigned the task of researching how to network the school's computers while another teacher was asked to research grants that were available for funding instructional programs.

Teachers viewed the principal as modeling the act of inquiry. Commenting on the implementation of a new reading program, Mrs. Baxter indicated, "I don't think that [Mr. Riggins] went into this with that much knowledge. Now he is extremely knowledgeable ...you can bet yourself, when we started this thing, he read and became involved".<sup>60</sup>

Dialogue. Mr. Riggins initiated dialogue related to R.C.K. priorities and instructional research. Depicting Mr. Riggins as someone who listened and wanted to be involved, Mrs. Baxter cited, "It was not uncommon for us to go rushing

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<sup>58</sup>Document, memo, October 21-25, 1991.

<sup>59</sup>Interview, October 18, 1991.

<sup>60</sup>Interview, October 18, 1991.



into his office to share something that had happened or something that we had read".<sup>61</sup> Mr. Hunter referred to similar actions, "He approached us in the Spring, talked about it, and asked us if we thought it would be something that would be compatible with what we were doing".<sup>62</sup>

Further, Mrs. Henson affirmed, "He involves us or groups of us in discussions about things he is interested in".<sup>63</sup>

Sometimes the dialogue initiated by Mr. Riggins was related to an assigned task. For example, Mrs. Mott noted, "There was another committee whose task it was to read Gardner's over the summer....they all got together and discussed it".<sup>64</sup>

#### Maintenance Factors

Maintenance factors (MF) were actions, behaviors, and thoughts of Mr. Riggins that maintained a focus on teacher leader activities. Four features of MF were (a) involve, (b) provide, (c) model, and (d) participate.

Involve. Teacher interviews indicated that they felt involved in the school decision making process. Through the faculty council, grade level and specialist meetings, committee work, and principal responses to teacher requests,

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<sup>61</sup>Interview, October 28, 1991.

<sup>62</sup>Interview, October 28, 1991.

<sup>63</sup>Interview, October 22, 1991.

<sup>64</sup>Interview, October 28, 1991.

teachers felt a high level of involvement. Moreover, participation in decision making was not limited to a few individuals. Mrs. Whipple indicated, "In our school, we can join any committee we want...you can go into the faculty council when you wish. I sat in this year to just see what's going on".<sup>65</sup>

The feeling of teacher involvement in decision making was reflected by Mr. Hooper,

Being involved with the faculty council is a big deal. It feels so wonderful to feel like you are a part of the decision making. I am the type of person who has high autonomy and freedom needs. To be included in what is happening to me is real important. It makes me feel like being a cheerleader for the school.<sup>66</sup>

Provide. The factor, provide, emerged in the form of principal willingness to provide materials and technical support for programs being initiated by teachers. Teachers commented that they readily received instructional materials needed, they had a voice in what was purchased, and they cooperatively developed long range plans for gaining technical support related to program needs. The availability of instructional materials and a voice in purchasing was reinforced by Mrs. Henson, "We get to decide what kinds of things we are going to spend money on. What

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<sup>65</sup>Interview, December 18, 1991.

<sup>66</sup>Interview, December 18, 1991.

kinds of textbooks we are going to use...the materials for thematic units for the school".<sup>67</sup>

Model. Teachers viewed the principal as modeling an orientation toward professional involvement. Mr. Riggins was perceived as being actively engaged in district committees such as the revision of the district elementary report card. Some of the teachers worked with Mr. Riggins on this committee. In addition, the principal was viewed as assuming a positive, professional role with a willingness to take risks both professionally and personally. This impression was summarized by Mrs. Baxter, "He is so innovative...not only within the school itself but in his own personal life....He is real open to ideas and change...he puts out feelers, tries new things, and is a big risk taker".<sup>68</sup>

Participate. The feature, participate, was reflected by high visibility and involvement of the principal in all aspects of R.C.K. Elementary. Mrs. Henson noted, "He is there every step of the way. He is really aware of what we are doing".<sup>69</sup> Mrs. Buckley related, "He is everywhere. He is in the rooms, lunchroom, and on the playground. He is interested in the children and how they enjoy what is going

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<sup>67</sup>Interview, October 22, 1991.

<sup>68</sup>Interview, October 18, 1991.

<sup>69</sup>Interview, October 22, 1991.

on in the rooms".<sup>70</sup>

### Enablement Factors

Enablement factors (EF) promoted and fostered demonstrations of teacher leadership. Features of EF included (a) release, (b) validate, (c) support, and (d) compromise.

Release. Frequent mention was given in teacher interviews regarding the release of teachers to do what they thought best for instruction within their classrooms. The release, however, was not automatic. Teachers described how they approached Mr. Riggins and presented their views for altering the instructional program. Their feeling was that if the views were well presented and supported by research, then Mr. Riggins released them to do what they wanted. Mrs. Baxter indicated, "I was prepared to argue him. I told him this is what I wanted to do, this is how I felt about it. He just sat back and listened...and said, 'It makes sense to me. Go for it'".<sup>71</sup>

Validate. Validation of ideas and programs by the principal was an important feature for recognizing and expanding teacher leadership. In written communication to the staff, Mr. Riggins frequently reinforced the staff as a group for accomplishments they had achieved together. For

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<sup>70</sup>Interview, December 18, 1991.

<sup>71</sup>Interview, October 18, 1991.

example, in recognition of an R.C.K. event conducted by the staff, Mr. Riggins acknowledged, "I really enjoyed hearing all your plans for the Multiple Intelligence Festivals";<sup>72</sup> "Thank you for all of the many outstanding activities you've planned for the Multiple Intelligence Festivals this week".<sup>73</sup> Similar acknowledgements were also made in staff meetings. Mr. Riggins recognized publically individual teachers who received recent awards or were working on special projects. Following a teacher's report regarding student council events in a faculty council meeting, Mr. Riggins replied, "I just want to say you're really doing a good job with this. I'm pleased with what you've done".<sup>74</sup>

Support. The support feature of EF differed from the validate factor in that the principal seemingly demonstrated different behaviors, actions, and thoughts. With validation, the principal acknowledged and referred to teacher expertise. In the support mode, however, the principal acted primarily from the position of one who encouraged and influenced teachers to increase their instructional skills and seek professional training in the use of different instructional programs.

Teachers indicated that Mr. Riggins encouraged them to apply for staff development training, submit applications

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<sup>72</sup>Document, memo, October 21-25, 1991.

<sup>73</sup>Document, memo, October 28-November 1, 1991.

<sup>74</sup>Staff meeting, October 30, 1991.

for instructional awards that would network them with other award recipients, write a grant to enhance instructional programs, and participate in district, curriculum task forces. Teachers indicated that these types of experiences would not have been pursued if Mr. Riggins had not encouraged and influenced their decision to become involved.

Compromise. Compromise appeared as a critical feature of EF. Teachers identified empowerment and the need for having control over instructional aspects of the school as essential to teacher leadership development. Sometimes, in order for teachers to be empowered, Mr. Riggins compromised by altering his views. During the study, Mr. Riggins demonstrated the ability to compromise on instructional issues that teachers felt were important, but were in opposition to his views. For example, Mr. Riggins wanted to devise a multiple intelligence theme for a school wide activity incorporating Gardner's (1985) seven areas of intelligence. Teachers planning the event through the faculty council felt the theme with seven focus areas would be too complex for students and staff. After discussing both viewpoints, Mr. Riggins compromised by maintaining the need for a school wide theme but allowing each grade level to plan the activities and focus areas as they desired.

Teachers reported similar compromises in interviews. Mrs. Henson related an incident that occurred when she was initiating cooperative learning strategies in the classroom.

Mr. Riggins visited her classroom in the beginning stages of implementation and found the room in disarray. He stated, "I understand what is going on in here. I just have trouble getting use to the noise, so I'll leave".<sup>75</sup> Mrs. Henson felt that other administrators might have stopped her program due to the disarray and as a result not allowed her to develop the skill she was seeking.

### Transition Factors

Transition factors (TF), were important to the overall process of change within R.C.K. Elementary. Features of TF included (a) envision, (b) initiate, and (c) focus. These features were influential in guiding teachers through either an individual or group change process.

Envision. The envisioning of an end product or desired behavior was used by the principal to provide a transition from one change to another. For example, the staff and the principal felt that library resources were not being used as effectively as they could be. As a result, Mr. Riggins adjusted the instructional library schedule allowing for large blocks of open time in the library. The intent was to use this time to provide more opportunities for students and staff to use library resources.

Once adjusting the schedule, Mr. Riggins began meeting with the librarian on a weekly basis for the purpose of

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<sup>75</sup>Interview, October 22, 1991.

envisioning a new library environment. Mr. Riggins indicated, "I painted a whole different picture for her...how valuable she is".<sup>76</sup> The librarian's response to the weekly conferences,

Because of the whole language approach, it was not convenient to operate the library in the same old way...so we are trying to integrate what I do...change the library program to where it is working with the teachers to provide many of the materials and the instruction they need...so [library] is not an isolated skill.<sup>77</sup>

The weekly meetings being held to paint a new picture were therefore beginning to re-shape the librarian's perspective and ultimately change the library.

Initiate. Teachers viewed the principal as an initiator of programs and ideas. A program focusing on Gardner's (1985) seven areas of intelligence was initiated by Mr. Riggins during the previous school year. Teachers indicated that Mr. Riggins initially presented Gardner's materials to them in a series of staff development sessions. Later, books were purchased and a committee was formed to create more awareness of program specifics.

During this study, the implementation of the Gardner's program was beginning to change instruction within the

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<sup>76</sup>Interview, September 4, 1991.

<sup>77</sup>Interview, October 28, 1991.



classroom as well as influence school events. Hall bulletin boards reflected displays related to areas of intelligence, R.C.K. festivals were planned with students participating in activities indicative of multi-intelligence, and teachers indicated that they were including awareness of the different areas of intelligence in their lessons.

In addition to the Gardner's program, Mrs. Buckley indicated that Mr. Riggins was initiating use of a computer scanner program to place contents of student portfolios on computer disks. After Mr. Riggins had proposed the idea to the staff, the fifth grade teachers decided to implement the new program.

Focus. The focus feature of TF directed teacher efforts in a given direction. Once a change process was envisioned and initiated, the task of focusing all resources on the change efforts arose. Mr. Riggins viewed leadership as getting staff, "committed to goals and working hard toward them".<sup>78</sup> Gaining a commitment for specific goals or priorities was part of the task of focusing and concentrating teacher efforts.

Once priorities were identified, Mr. Riggins made reference in staff meetings to how the priorities would be brought into focus. For example, in a faculty council meeting Mr. Riggins described grants that would be written for funding the Gardner's program,

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<sup>78</sup>Interview, December 18, 1991.

I will bring all forces on this school priority. With this grant we could integrate the arts in instruction. By the end of the year we will have trained ourselves. I will have a hand-out for parents that will tie in what we are doing in before school classes. Staff members will be visiting a school in Indiana.<sup>79</sup>

As a result of the Mr. Riggins' focusing efforts, teachers began to direct their attention to the implementation of the Gardner's program. For example, Mrs. Snadely declared that she was beginning to integrate multi-intelligence activities in her classroom, "I was a little hesitant at first. But then after reading and becoming familiar with it, I realized that this is really what you do but just haven't used that terminology".<sup>80</sup>

#### Summary of Principal's Actions Behaviors and Thoughts

The four categories labeled communication, maintenance, enablement, and transition factors, represented ways in which the principal influenced teacher leadership. The principal seemingly guided, reinforced, and altered teacher leadership through the actions, behaviors, and thoughts identified in each category.

Principal interventions, or lack of interventions, allowed teachers to express and practice different forms of

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<sup>79</sup>Meeting, faculty council, September 17, 1991.

<sup>80</sup>Interview, November 6, 1991.

leadership. For example, committee assignments given by Mr. Riggins resulted in forms of task teacher leadership. Additionally, enablement factors used by the principal to encourage classroom implementation of new instructional strategies, led to instructional teacher leadership and ultimately professional teacher leadership. The influence of principal interventions enhancing the development of professional teacher leadership was reflected by Mrs. Mott,

If he had not done that, [encouraged a group of teachers to apply for district recognition in instructional expertise] I don't think any of us would have really realized that we had something to offer. Sometimes somebody has to point it out...not your peer...somebody with authority that says I believe in what you are doing. And other people need to see this outside of our school.<sup>81</sup>

Actions, behaviors, and thoughts of the principal thus encouraged the development of teacher leadership.

#### **Change Processes Influenced by Teacher Leadership**

Teachers identified that changes within R.C.K. Elementary were a result of teachers assuming leadership in given areas. These changes were related to the areas of instruction, curriculum development and school improvement. In each of the three areas, teachers demonstrated different

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<sup>81</sup>Interview, October 28, 1991.

types of teacher leadership to bring about desired change.

### Instruction

A combination of scholarly, instructional, collaborative, and professional teacher leadership demonstrated by four intermediate teachers, influenced the implementation of whole language strategies within R.C.K.. The four teachers collaborated among themselves and with other teachers to apply strategies they had learned through university course work. Written materials related to the whole language philosophy were shared, dialogue sessions discussing certain techniques were held, lesson activities for other interested staff were modeled, and presentations were made in school and district staff development sessions. The efforts of these teachers resulted in district awards for recognized expertise in whole language instruction.

As a result of the four teachers efforts, other staff members began to implement whole language instruction. Mrs. Baxter, one of the four teachers, cited, "Probably everybody within the staff has at some time or another talked to one of the four of us several times...several people from the staff take our PDE [professional development education] class".<sup>82</sup> Likewise, Mrs. Henson, another one of the four teachers affirmed, "We talked, and an awful lot of people

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<sup>82</sup>Interview, October 18, 1991.

listened".<sup>83</sup> Mr. Hunter, one of the listeners shared, "I am thinking of our fifth grade teachers [the four] were really good role models for us".<sup>84</sup>

### Curriculum Development

Collaborative teacher leadership efforts led to the development of thematic units for classroom instruction. Teachers talked about working together as grade levels to develop lesson activities related to agreed upon themes. Mrs. Mathis revealed, "We try to have a meeting and share the materials we use. It really seems to help each other out. We get a lot more ideas when we talk about things".<sup>85</sup> In addition, teachers indicated that they worked together to develop forms and checklists to assess student learning progress. Mrs. Baxter indicated, "We sat down, worked together, and decided to come up with a particular form we needed".<sup>86</sup> According to Mrs. Baxter, the informal sharing of a few teachers eventually led to sharing among the staff of, "everything from assessment, to book keeping, to reading, and writing logs".<sup>87</sup> Collaborative leadership therefore resulted in staff sharing

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<sup>83</sup>Interview, October 22, 1991.

<sup>84</sup>Interview, October 28, 1991.

<sup>85</sup>Interview, November 13, 1991.

<sup>86</sup>Interview, October 18, 1991.

<sup>87</sup>Interview, October 18, 1991.

of instructional materials and resources.

### School Improvement

School improvement committees were established each year to plan implementation of agreed upon priorities. Teachers assumed task leadership roles in organizing and coordinating committee work. The implementation of the faculty council was mentioned as being a direct result of teacher need for establishing a better system for communication within R.C.K. Elementary. Mr. Riggins and a group of teachers demonstrating professional teacher leadership developed the structure of the council and determined how the council would function. Teachers assumed anointed teacher leadership positions as grade level representatives on the council. Each representative informed peers of issues being discussed and engaged peers in group problem solving to resolve issues needing agreement.

### **Development of Teacher Leadership**

The seven categories of teacher leadership found in the study were developed in three progressive stages. The stages of development extended from self, to collaborative, and ultimately transformational leadership.

### Self Leadership Stage

In this stage, teachers focused attention on self

growth. Growth was represented by teachers seeking staff development training in a given area, pursuing a graduate degree, seeking information regarding new instructional strategies, and expressing a desire to enhance their instructional skills. Teachers, in this stage of development, seemingly focused on gaining expertise within the classroom environment.

The forms of teacher leadership associated with this stage were the scholarly and task forms. Both of these forms of leadership enabled teachers to acquire the skills and orientation needed to move to a higher level of development.

#### Collaborative Leadership Stage

Once teachers acquired expertise in the classroom, the orientation of the teacher turned to seeking group involvement. Through like interests, similar beliefs regarding instruction, or social contacts, individual teachers began to network with one another. Networking included group planning of long range plans, development of instructional units, sharing of materials and ideas, and developing new plans for classroom organization. The collaborative group efforts extended the individual teacher's focus beyond the classroom to a grade level or a combination of grade levels.

The forms of teacher leadership related to this stage included anointed, instructional, and collaborative

leadership. All of these forms of leadership engaged teachers with their peers. Leadership at this stage assumed a group orientation as opposed to a self orientation.

#### Transformational Leadership Stage

In the transformational stage, teachers moved from classroom and grade level orientations to school, district, and ultimately state/national orientation. At this stage, teachers were concerned with shaping the direction of the R.C.K. Elementary instructional program. They were proactive in establishing school priorities in cooperation with the principal, active in district and national affiliations with professional organizations, recognized as having expertise within and outside of R.C.K., and were influential in implementing change processes within R.C.K. Elementary.

The category of professional teacher leadership characterized the activities of teachers at this stage of development. This stage included aspects of each previous stage in that teachers were concerned with self growth but were also oriented to group growth.



## CHAPTER 5

### SUMMARY OF FINDINGS, WORKING HYPOTHESES, IMPLICATIONS, AND FURTHER RESEARCH

#### Introduction

This exploratory case study examined how the leadership style of the principal influenced the development of teacher leadership in a school that was in the process of change. Data collected from field observations, document reviews, and interviews revealed trends in both the development of teacher leadership as well as the types of principal actions, behaviors, and thoughts that influenced leadership development. A grounded theory related to the phenomenon of teacher leadership development emerged through systematic conceptualization of conceptual linkages (Strauss & Corbin, 1990) within and between emergent categories of teacher leadership and principal actions, behaviors, and thoughts. A three stage descriptive model of teacher leadership development reflective of the grounded theory was developed. This developmental model describes the nature of teacher leadership evidenced at each stage of development including the types of principal actions, behaviors, and thoughts that influenced teacher leadership development.

Within this chapter, a summary of the case study findings is first outlined. A model related to the grounded

theory of teacher leadership development is then presented. Thirdly, working hypotheses generalized from the study findings are discussed. Finally, implications for educational administration and future research are drawn.

### **Summary of Findings**

#### Overview

Findings were reported according to (a) the social context evidenced within R.C.K. Elementary, (b) the nature of teacher leadership perceived within the context, (c) the categories of teacher leadership found prevalent, (d) the types of principal actions, behaviors, and thoughts that influenced leadership development, (e) the change processes facilitated by teacher leadership, and (f) the developmental stages of teacher leadership that became apparent. Findings reported in the study generally corroborated findings from the review of literature. Similarities and differences with the literature are discussed in each subsequent summary of findings.

#### Social Context

The social context of R.C.K. Elementary was typified by what Little (1986) referred to as norms of collegiality. Mr. Riggins and the staff were depicted as working together to achieve agreed upon goals. Teachers expressed a sense of collaboration in an atmosphere that encouraged experimentation and group problem solving.

Collaboration was described both at a personal and professional level. For example, Mrs. Mott related, "When we are together, we love being together. We share a lot of personal interests".<sup>88</sup> Additionally, Mr. Hunter referred to "a group of people who truly enjoy one another's company and respect each other as professionals".<sup>89</sup> Similarly, Mrs. Russell likened the collaborative spirit of R.C.K. Elementary to "lemons of different flavors...different teachers that are constantly helping each other, reinforcing, and working together...to make lemonade".<sup>73</sup>

Encouragement for experimentation evolved as a feature of teachers' collaborative efforts. Mrs. Baxter summarized this aspect when referring to another teacher's hesitancy to take risks, "Grace does wonderful things...She is shy...so we have encouraged her and she is getting better. She is starting to take some risks".<sup>74</sup> Likewise, encouragement among teachers was viewed by Mrs. Cummings as a way for making "people feel real comfortable".<sup>75</sup> Mrs. Baxter imparted the comfort aspect when she indicated, "had we not had each other, we would never ever have made the progress

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<sup>88</sup>Interview, October 28, 1991,

<sup>89</sup>Interview, October 28, 1991.

<sup>73</sup>Interview, December 11, 1991.

<sup>74</sup>Interview, October 18, 1991.

<sup>75</sup>Interview, December 12, 1991.

that we did".<sup>76</sup>

The group problem solving feature of collaboration within R.C.K. Elementary was characterized by what Rosenholtz (1989) referred to as learning enriched. R.C.K. was learning enriched in that collaborative efforts were reported as being cognizant of diverse opinions and supportive of networking for the purpose of learning new instructional strategies. For example, Mrs. Mott related, "people collaborate, discuss, argue, and value what they think. It's diversity that helps us grow...its a body of ideas rather than a single idea".<sup>77</sup> Likewise, Mrs. Henson identified a "network" formed for the purpose of learning whole language strategies, "We just started talking...we talked to our fellow teachers who were interested...we had speakers in...we got to share books".<sup>78</sup>

In conclusion, unlike the findings reported by Lortie (1975) and Goodlad (1984), the social context of R.C.K. Elementary was characterized by engagement rather than isolationism and routinization. Professionalism and collegialism were purported in an atmosphere similar to what Little (1986) and Rosenholtz (1989) claimed to be necessary for teacher growth.

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<sup>76</sup>Interview, October 18, 1991.

<sup>77</sup>Interview, October 28, 1991.

<sup>78</sup>Interview, October 22, 1991.

### The Nature of Teacher Leadership

Attributes that characterized teacher leadership, as defined by Rosenholtz (1989) and Wasley (1991), were found in this study. The perspectives of the principal and the teachers coincided, viewing teacher leaders as professionals enhancing the craft of teaching through continuous development and inquiry (Rosenholtz, 1989). Additionally, teacher leaders were depicted as engaging colleagues in experimentation and examination of robust instructional practices (Wasley, 1991).

Teachers, identified by their peers as leaders, were profiled as being oriented to growth, involved in school decision making and mentoring of others, confident of personal skills and abilities, validated by peers as having instructional credibility, and empowered to make decisions regarding instructional programs. This profile invoked a proactive image. Reflecting the proactive image, Mrs. Cummings noted,

It's teachers seeking a role in curriculum development, the way the school is run, the activities they are involved with, the things they are asked to do, the discipline, the awards programs...why, I think they are involved in everything. Even the budget!<sup>79</sup>

The profile of teacher leaders was interwoven within the social context of R.C.K. Elementary. The prevailing

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<sup>79</sup>Interview, December 12, 1991.

collegial atmosphere transformed the behavior of Mr. Hooper, identified by a peer as a teacher leader. Mr. Hooper admitted,

I am kind of an individual who likes to do my own thing. I generally don't care about what is going on outside of me. I'm usually up to something I am interested in. I have my own projects. But this place has a certain sort of power to it that isn't allowing me to do that....I feel I've got to do this other thing too.<sup>80</sup>

Implicit within the statement, "other thing", was the expression of teacher leadership. Mr. Hooper was noted as one of the active members of the Faculty Council charged with the leadership role of determining and shaping school policy.

Hence, teacher leadership within the R.C.K. context, suggested by Mr. Riggins was, "an emergence of leadership from within the informal group".<sup>81</sup> Similarly, Fiedler and Garcia (1987) defined the term, leader, as the person who emerged from within the group to direct and coordinate group efforts. This emergence of leadership according to Mr. Riggins was "born out of the classroom...through [teachers'] knowledge, ability, enthusiasm, willingness to contribute,

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<sup>80</sup>Interview, December 12, 1991.

<sup>81</sup>Interview, December 18, 1991,

work, and be a leader."<sup>82</sup>

Finally, just as the nature of teacher leadership within the R.C.K. context appeared limitless, the expansion of teacher leadership also appeared unlimited. Sergiovanni's (1991) call for greater leadership density was imitated in Mr. Riggins' desire, "Eventually, if you play your cards right and plan well with the right opportunities, you can have a group full of leaders."<sup>83</sup> Successful leadership in Mr. Riggins' view, then, was coupled with the demonstration of leadership by others. Similar to Sergiovanni's view, Mr. Riggins envisioned leadership as striving to become a leader of leaders.

#### Categories of Teacher Leadership

The seven categories of teacher leadership found in the study demonstrated the density of teacher leadership suggested by Sergiovanni (1991) as being necessary for enhancing the quality of a school. Additionally, the context of R.C.K. Elementary was leadership enriched rather than role-titled enriched. Study findings supported Sergiovanni's contention that leadership roles within the school be freely exercised and broadly based.

Prior studies of teacher leadership (Hatfield et al., 1987; Kenney & Roberts, 1984; Lieberman et al, 1988; Wasley,

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<sup>82</sup>Interview, December 18, 1991.

<sup>83</sup>Interview, December 18, 1991.

1991) were associated with role titles such as grade level chair, department head, instructional leader, and staff development coordinator. These studies described teacher leadership in relation to specific roles established within the school. This study, however, described teacher leadership in relation to role titles as well as the school context. Many of the leadership behaviors evidenced within R.C.K. Elementary were detached from role titles and associated with the social network of individual and group efforts.

The categories of teacher leadership found in this study and described in Chapter 4, included (a) anointed, (b) task, (c) status, (d) scholarly, (e) instructional, (f) collegial, and (g) professional teacher leadership. Analyses of the different categories revealed similarities between teacher leader behaviors described in study findings and change agent behaviors delineated in Havelock and Havelock's (1973) models of change.

A category of particular interest was collegial teacher leadership. A teacher displaying collegial leadership acted in a manner similar to the change agent in the social interaction model (Havelock & Havelock, 1973). Through a collegial social network, the teacher leader created an awareness and influenced the perceptions of others who were contemplating a change. For example, Mr. Hunter indicated that teachers were prompted to change simply by what was



happening around them, "I think it was coming from the teachers who knew it was time to change...What they did see was other teachers who were beginning".<sup>84</sup> This interaction of teachers through the natural communication network (Havelock & Havelock, 1973) demonstrated the influence of informal channels of communication (Owens & Steinhoff, 1976) in affecting change. Further, the reliance on each other to form a support group within the social system rather than outside of the system, mirrored the role of the change agent described by Hall and Hord (1987).

The creation of a support group was a variation of network building (Havelock & Havelock, 1973), a strategy used for diffusion of information in the social interaction change model. Referring to a support group formed by teachers for the purpose of assisting peers with the implementation of whole language strategies, Mrs. Snadely noted that the group was used as a means for "getting some teachers interested and trying to impress upon other teachers how important it [whole language] is".<sup>85</sup> The focus of the support group targeting the benefits of the change, paralleled Rossow's (1990) perception of the social interaction process used for effecting change.

Teacher leadership activities associated with the integration of Gardner's (1985) multi-intelligence theory

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<sup>84</sup>Interview, October 28, 1991.

<sup>85</sup>Interview, November 12, 1991.

with the instructional program of R.C.K. Elementary, reflected the research, development, and diffusion model of change (Havelock & Havelock, 1973). The diffusion of the program, like the RD&D model, flowed initially from Mr. Riggins downward to the teachers. Gardner's theory was packaged for diffusion using written material. Teachers from each grade level initially assumed scholarly and task leadership roles reading a book regarding Gardner's theory. Having gained familiarity with the theory, these teachers then fulfilled an anointed leadership position by disseminating related information and coordinating grade level activities reflective of the theory. Using teachers to disseminate the information was comparable to Guba and Clark's (1974) adaptation of downward diffusion to configurational diffusion using natural and existing organizational structures to facilitate change.

Association with the problem solving change model was noted in aspects of professional teacher leadership. Features of teachers engaged in professional teacher leadership were similar to the group problem solving and group dynamics described by Bennis et al., 1976, Jung & Lippitt, 1966, and Lippitt et al., 1958. Teachers worked in concert to transform school policies, procedures, and programs. This was accomplished through a group problem solving process.

An added feature of professional teacher leadership was

a focus on user-centeredness and user-diagnosis of problems documented by Lipham et al. (1985) in the problem solving change model. Mrs. Baxter illuminated this feature when she reflected on her decision to change student assessment practices within the classroom,

Because I'm into whole language my second semester, I became frustrated giving grades...I became real concerned with assessment, how to do it....Of course I had to do a lot of research...and I came up with having the students do a self-evaluation.<sup>86</sup>

In keeping with the problem solving change model, the need for change and the means for implementing change were totally determined by Mrs. Baxter, the user of the innovation.

In summary, the categories of teacher leadership that prevailed in this study contained features similar to strategies used in change models identified by other researchers. Teacher leaders functioned much the same as change agents in the social interaction model, the research, development, and diffusion model, and the problem solving change model.

#### Principal's Actions, Behaviors and Thoughts

The principal of R.C.K. Elementary, Mr. Riggins, demonstrated features that aligned with Hall and Hord's

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<sup>86</sup>Interview, October 18, 1991.

(1987) initiator change facilitator style. This was reflected both in comments made by teachers as well as Mr. Riggins. The initiator style of Mr. Riggins was noted often in teacher comments, as reported in Chapter 4. As another example, Mrs. Lukin's comment supported Mr. Riggins as an initiator,

He demands excellence but yet is human about it. He sets an example...It is more than an outward look. It is an attitude. A way to go about accomplishing goals. The goals are well defined. He does not do it alone. He works with committees, groups to define goals. You can choose your own goal. That is not a problem. But, you should have something to work toward.<sup>87</sup>

Mrs. Lukin's impression reflected Hall and Hord's (1987) description of the initiator being (a) adamant, not unkind; (b) having strong beliefs; (c) demanding and monitoring high expectations; (d) setting well-defined goals; and (e) involving others in decision making (p. 230).

The initiator's features of being highly visible, capturing resources for the school, and creating a vision of the school (p. 230) were also associated with Mr. Riggins. Mrs. Buckley commented on visibility, "He is everywhere. He is in the rooms, the lunchroom, on the playground. He is just very visible. And that is supportive in itself just to

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<sup>87</sup>Interview, October 28, 1991.

know that he is around."<sup>88</sup>

Capturing resources was related to human as well as material resources obtained for the school. Mrs. Hanks revealed, "[Mr. Riggins] has definite things he wants from people. When he hires, I think he gets people who go above and beyond. He likes innovative, new things".<sup>89</sup> Grants written by Mr. Riggins demonstrated the lengths to which steps were taken to acquire new technology and materials for implementing identified school goals.<sup>90</sup>

The creation of a school vision was purported by Mr. Riggins in his need for "shaping school direction in priorities"<sup>91</sup> Mr Riggins viewed his function within the school as, "trying to take the needs of the organization and the community and to infuse those in the school ...matching the hierarchial goals with subordinate needs, interests, and goals".<sup>92</sup> Efforts made toward communicating the vision were revealed in faculty council meetings when Mr. Riggins influenced decisions, "Are we narrowing our focus here?...Back on theme. Our theme is seven areas of intelligence".<sup>93</sup>

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<sup>88</sup>Interview, December 18, 1991.

<sup>89</sup>Interview, December 12, 1991.

<sup>90</sup>Documents, grants, September, 1991.

<sup>91</sup>Interview, December 18, 1991.

<sup>92</sup>Interview, December 18, 1991.

<sup>93</sup>Staff meeting, October 10, 1991.

The four factors describing the principal's actions, behaviors, and thoughts, corresponded with aspects of contingency-based, situational leadership (Fiedler, 1967; Hersey & Blanchard, 1977; Vroom & Yetton, 1973) and the linkage model of change (Havelock & Havelock, 1973; Paul, 1977). Contingency-based, situational leadership was represented by Mr. Riggins thoughts regarding leadership, "There is a certain situational aspect to it...I guess [it] would be reinforcement of specific behaviors or of ideas, behaviors on the part of [individual] staff or groups of teachers".<sup>94</sup> Situationally, Mr. Riggins noted at times he recognized or ignored teacher behaviors, actions, or thoughts according to what he felt was best for the growth of the person and the overall school. For example, to avoid competition among staff, Mr. Riggins revealed, "There have been many opportunities for people to emerge in leadership roles...One of the neat things that I have tried to do is to not continually have it be the same people".<sup>95</sup>

The principal factors that emerged from the data including communication, maintenance, enablement, and transition, reflected features of Havelock and Havelock's (1973) linkage change model. Similar to a linking agent, Mr. Riggins focused his actions, behaviors, and thoughts on using communication networks, taking advantage of

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<sup>94</sup>Interview, December 18, 1991.

<sup>95</sup>Interview, December 18, 1991.

relationships within the social network, and creating and disseminating knowledge gained from research to innovation users. For example, communications regarding innovations were evidenced in memos, letters to parents, and updates in staff meetings. Additionally, reference to the social network by Mr. Riggins was recognized,

informal leadership...their opinions even generalize and their professional opinions...get listened to more often. So I think my role, in seeing that and helping that to emerge, is to know what is developing and what's emerging. Where do I stand in it, and how can I reinforce it or not reinforce it?<sup>96</sup>

Finally, the creation and dissemination of knowledge related to innovations was represented by articles given to staff, inservice sessions conducted by Mr. Riggins, and curriculum consultants brought in to share pertinent information.

Mr. Riggins summarized his role in influencing teacher leadership by personifying his actions, behaviors, and thoughts accordingly, "You are a cheerleader, you are a resource provider, you're a communicator, you're a director...[these are] the hats that you wear at different times."<sup>97</sup> These hats symbolized the different dimensions of the principal factors reported in the descriptions of findings outlined in Chapter 4.

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<sup>96</sup>Interview, December 18, 1991.

<sup>97</sup>Interview, December 18, 1991.

### Change Processes Influenced by Teacher Leadership

Change processes reported to be influenced by teacher leadership were noted in the areas of instructional practice, curriculum development, and school improvement. Unlike earlier findings (Hatfield et al., 1987; Kenney & Roberts, 1984; Wasley, 1991) that reported change processes mostly influenced by positional leadership, this study found that change processes were influenced primarily by informal teacher leadership. Teacher leadership activities were not dependent upon or limited to a titled, leadership role position.

### Development of Teacher Leadership

The categories of teacher leadership found in this study led to a developmental notion of teacher leadership. Both the principal and teachers viewed teacher leadership as a process beginning with self-recognition, extending to collaborative change efforts, and eventually resulting in change efforts that transformed programs within and outside of R.C.K. Elementary. Mr. Riggins as well as teachers referred to the emergence of teacher leadership resulting from personal classroom expertise, leading to collaborative efforts effecting change in a group of classrooms, and ultimately transforming change in R.C.K. and district instructional programs.

The process of leadership development was pictured by



Mrs. Mott as being a progression, "there are some that are soft spoken leaders...in their classroom it is fine. But once you begin to recognize them as a leader in some area, they begin to blossom."<sup>98</sup> Mrs. Mott continued,

I would say we have everything from one end of the spectrum to the other...those who prefer not to be leaders...a collaborative group of leaders...leaders who are out [of the school] doing professional classes [for district teachers].<sup>99</sup>

The progression of leadership described by Mrs. Mott placed teacher leaders as beginning with self-recognition and recognition by others in a given area of expertise. This recognition then extended to collaborative efforts in professional growth. Ultimately, the collaborative efforts led to effecting change in instructional programs within and outside of R.C.K. Elementary.

Mr. Riggins portrayed a similar progression of teacher leadership development when he described teacher leaders as being "born"<sup>100</sup> in the attainment of classroom expertise and moving "to [being] concerned about something beyond their classroom".<sup>101</sup> Mr. Riggins referred to a teacher who had moved through this progression,

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<sup>98</sup>Interview, October 28, 1991.

<sup>99</sup>Interview, October 28, 1991.

<sup>100</sup>Interview, December 18, 1991.

<sup>101</sup>Interview, October 8, 1991.

All of a sudden, she got involved in her Master's program and with the school priority, whole language...[worked] with a group of four taking classes together...with the recognition she got, she became a whole language workshop leader, did PDE [district professional growth classes], and presented with a nationally known person at IRA [International Reading Association].<sup>102</sup>

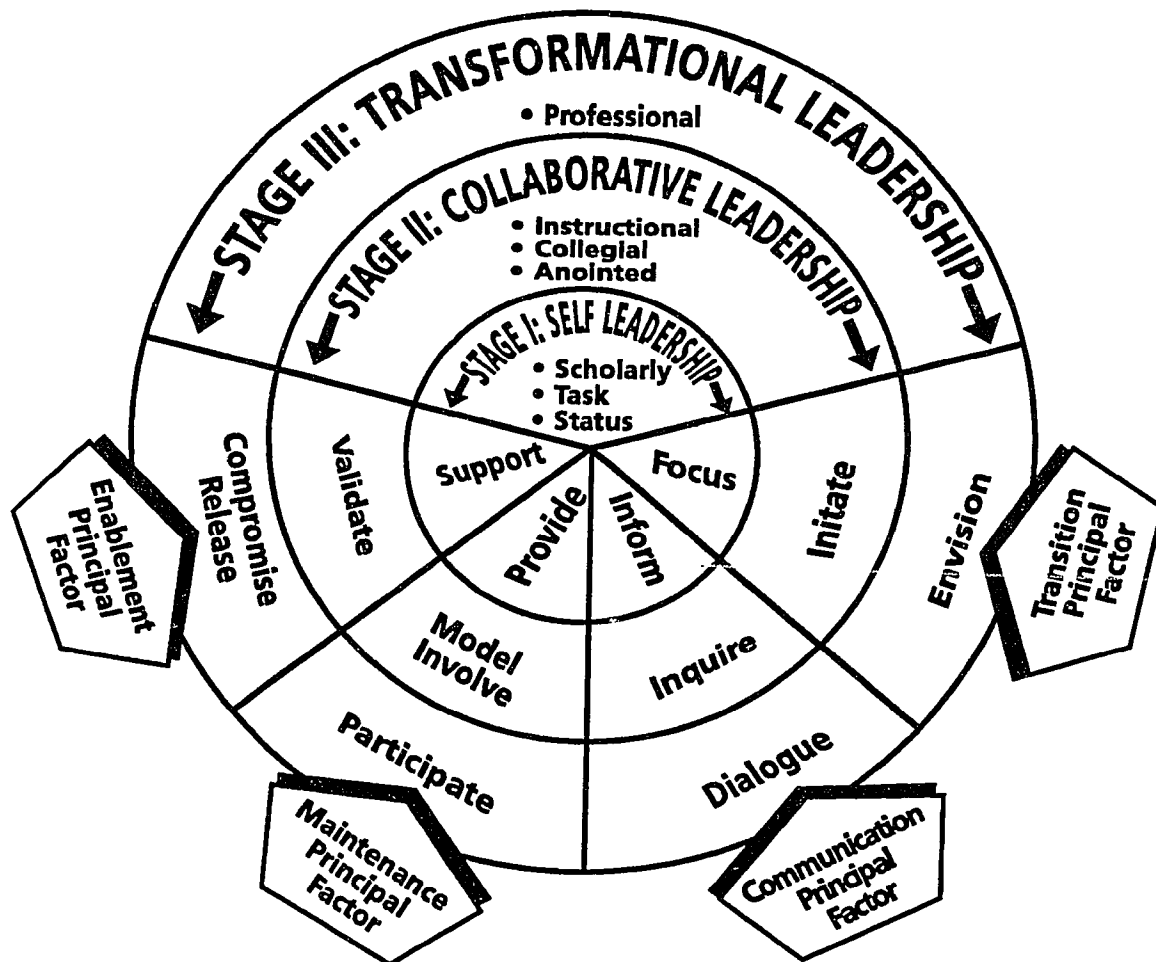
In summary, the developmental stages of teacher leadership emerged from study findings related to principal and teacher perceptions of the nature of teacher leadership.

#### **Developmental Model of Teacher Leadership**

A grounded theory (Strauss & Corbin, 1990) of teacher leadership was discovered through conceptualization of teacher leadership categories and the discovery of conceptual linkages between the principal's actions, behaviors, and thoughts and teacher leadership. A three stage model depicting this theory is shown in Figure 2.

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<sup>102</sup>Interview, October 8, 1991.



**Figure 2: Developmental Model of Teacher Leadership**

The developmental model depicted the three stages of teacher leadership development including Stage I, Self; Stage II, Collaborative; and Stage III, Transformational. Seven categories of teacher leadership were included in the model. Each stage was associated with specific leadership categories. Additionally, four factors related to the principal's actions, behaviors, and thoughts were alligned with each stage. Each of the four factors was divided into features associated with one of the three stages.

Stage I: Self. The Self Stage included scholarly and task teacher leadership. At this stage, the teacher focused on self-development and growth of personal skills. Often at this stage of development, the teacher pursued a graduate degree, took advantage of workshops or staff development training to increase instructional skills, and assumed tasks related to classroom practices, such as reviewing supplemental materials and acquiring information regarding new instructional strategies.

The principal's factors in Stage I focused on behaviors, actions, and thoughts directed to individual teachers. The principal used the communication factor, inform, at this stage of development. Principal efforts were directed to informing individual teachers of professional growth opportunities, apprising individuals of research-based practices, and keeping the teacher abreast of current trends and performance expectations.

The maintenance factor in Stage I, provide, actively involved the principal in equipping the teacher with the materials and training needed to gain instructional expertise. The principal provided the technical support and collected the resources needed for the teacher to implement the instructional strategies being learned.

The Stage I enablement factor, support, entailed the principal demonstrating support and encouragement for the teacher's efforts in gaining instructional expertise. Additionally at this stage, the principal networked the teacher with peers who were skilled in desired instructional strategies. This networking enhanced the teacher's self growth by providing a model "to be copied...a buddy with someone for sharing".<sup>103</sup> The networking created familiarity for further collaborative efforts.

The transition factor of Stage I, focus, found the principal guiding the teacher and keeping efforts goal directed. Mr. Riggins described this as, "identifying the goals, getting [the teacher] committed, working hard towards [the goals] and being supportive of the direction".<sup>104</sup>

Stage II: Collaborative. The Collaborative Stage included the anointed, instructional, and collegial categories of teacher leadership. As the teacher began to demonstrate expertise in the classroom, peers as well as the

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<sup>103</sup>Interview, December 11, 1991,

<sup>104</sup>Interview, December 18, 1991.

principal, anointed the teacher with titled positions. For example, in this study, Mrs. Evans was elected by her peers to be the grade level chair because of her expertise in math. This anointed teacher leadership often prompted transition into a higher stage of leadership development. Mrs. Mott indicated, "I was the science representative in the school. That led to greater things in the district".<sup>105</sup> Mrs. Mott referred to becoming a presenter for district science workshops and eventually applying for a consultant position.

Instructional teacher leadership in Stage II encouraged collaboration among teachers. Once a teacher developed familiarity or gained instructional expertise within the classroom, efforts turned to seeking input from others. For example, in this study, Mrs. Mott identified, "All of the fifth grade teachers are considered the reading experts. If they ever have a whole language question, they come to us".<sup>106</sup> This informal "come to us" set the stage for collegial teacher leadership.

Collegial teacher leadership, a final category of teacher leadership associated with Stage II, shifted the teacher from self-growth to group-growth. The teacher worked with other peers seeking information, elicited staff development training, and conversed about the effects of

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<sup>105</sup>Interview, October 28, 1991.

<sup>106</sup>Interview, October 28, 1991,

certain programs or strategies. This category of leadership placed the teacher in touch with diverse opinions and opportunities that broadened personal perspectives.

Principal factors that alligned with Stage II matched the collaborative nature of this developmental teacher leadership stage. For the communication factor, inquire, the principal asked teachers to research or locate information related either to individual or group interest. Rather than informing and telling, the principal modeled the act of inquiry and encouraged teachers to seek alternatives to proposed issues.

For the Stage II maintenance factor, model, the principal modeled experimentation and set the expectation for learning new strategies. Following the principal's modeling of risk taking, groups of teachers in this study initiated their own risk taking. For example, Mr. Hunter referred to a group of risk takers when reflecting upon teachers who initiated whole language strategies, "Our fifth grade teachers really jumped into that type of instruction with both feet. And so they were really good role models for the school".<sup>107</sup>

The enablement factor in Stage II, validate, involved the principal in acknowledging individual and group demonstrations of instructional expertise. Teachers at this stage were recognized publically for their abilities in

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<sup>107</sup>Interview, October 28, 1991.

implementing research-based, instructional strategies. The principal recognized teachers through staff communications, verbal references made in staff meetings, and classroom visitations arranged for the purpose of having other teachers observe the strategies in action.

The Stage II transition factor, initiate, placed the principal in a position of initiating involvement of teachers in specific change efforts. The principal suggested, promoted, and encouraged teachers to work together in implementing a new instructional program or strategy. For example, in this study, the principal introduced the staff to a student assessment program using a computer scanner. After the principal's introduction, a group of fifth grade teachers collaborated their efforts and devised strategies for implementing the program at their grade level.

Stage III: Transformational. The Transformational Stage included professional teacher leadership. At this stage, the teacher leader demonstrated expertise in classroom instruction, the implementation of change through collaborative efforts, and the creation of programs that altered instruction within and outside of the school. The teacher broadened personal leadership skills in Stage III through involvement in professional organizations, interactions with the principal in establishing and implementing school goals, and networking with other



school/district teachers and administrators in devising new instructional programs.

In Stage III, the principal worked in concert with the teacher at a collegial, leadership level. Since the teacher demonstrated a high level of instructional expertise, the principal evoked actions, behaviors, and thoughts which allowed the teacher to express personal capabilities. The principal factors associated with this stage of teacher leadership development empowered the teacher to take action.

The communication factor, dialogue, engaged the principal in active discussions regarding proposed change efforts. The principal discussed, evaluated, and proposed alternatives or adaptations for addressing programs being considered for change. The teacher leader brought to the dialogue a level of knowledge and expertise that informed and added insight to the final collaborative decision.

The Stage III maintenance factor, participates, described the principal's efforts to include the teacher leader in contemplated change efforts. The principal actively elicited the teacher leader's input regarding proposed changes and included the teacher leader in all phases of change implementation.

Additionally, rather than directing or guiding change efforts enacted by the teacher leader, the principal participated in change efforts by demonstrating visible support and involvement. For example, in this study, Mr.

Riggins was viewed as supporting the efforts of four teacher leaders who decided to implement whole language strategies. Specifically, he observed frequently in the teachers' classrooms, expressed support for their program to other teachers, made arrangements for the teachers to lead a whole language support group, brought in outside consultants, administrators, and teachers to observe the program, and established professional growth courses in which the teacher leaders shared their expertise with school and district staff.

The final transition factors of Stage III, release and compromise, depicted the principal as allowing the teacher freedom to make decisions affecting change efforts. Specifically, the principal released the teacher to make decisions based upon personal expertise and experience. For example, in this study, Mrs. Mott reported, "The whole language has come from [certain] teachers feeling a need and developing philosophies on their own".<sup>108</sup> Mrs. Baxter, a teacher implementing the whole language program based upon personal expertise, noted of the principal, "I told him this is what I wanted to do, this is how I felt about it. And he just sat back and listened. He said, 'It makes sense to me. Go for it'".<sup>109</sup> By his statement, Mr. Riggins released Mrs. Baxter to make her own decisions regarding whole

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<sup>108</sup>Interview, October 28, 1991.

<sup>109</sup>Interview, October 18, 1991.

language implementation.

Besides the transition factor, release, the principal also used the factor, compromise, during Stage III. Compromise referred to the principal's actions taken in relation to issues surrounding a change effort. For example, the principal had a different perspective than the teacher regarding a change effort implementation. Rather than insisting that the teacher adopt the principal's perspective, however, the principal allowed the teacher to incorporate personal viewpoints. The compromise factor was observed in this study when Mr. Riggins tried to have teachers enact a theme for the Gardner's (1985) program. He wanted seven areas of intelligence represented in a school theme. However, following teacher input, Mr. Riggins compromised by allowing each grade level to select the specific intelligence areas they felt would be best understood by students.

In summary, The Developmental Model of Teacher Leadership, depicted three progressive stages of teacher leadership reflecting the nature of teacher leadership and the types of principal's actions, behaviors, and thoughts associated with teacher leadership within the social context. The model is a developmental, pattern model (Kaplan, 1964; Reason, 1981) that offers an explanation rather than a prediction of the connections that emerged between expressions of teacher leadership and the influence

of the principal upon teacher leadership development.

### **Working Hypotheses**

A series of working hypotheses were inductively generated (Cronbach, 1975; Lincoln & Guba, 1985) from the study findings. The transferability of the working hypotheses are limited to a similar research context and conditions. Although the working hypotheses are tentative for the given research context and may differ in the same context over a period of time, their primary purpose is to provide insight into implications for further study.

#### **Hypothesis One**

The nature of teacher leadership is defined through interactions of the teachers and the principal within the social context of the school.

This study revealed that teacher leadership was described by teachers and principals in terms of perceived social interactions. A teacher leader was viewed in terms of specific actions or behaviors in given situations. Categories of teacher leadership emerged primarily from the informal group.

Given the social interaction dynamics and the emergent qualities of teacher leadership, a reasonable hypothesis may be drawn that the nature of teacher leadership is context specific. Because social interactions vary from one context to another, the nature of teacher leadership may vary

accordingly.

### Hypothesis Two

Teacher leadership exists in varied forms expressed through means other than titled, leadership positions.

Seven categories of teacher leadership were discovered within the school context. Only one of the categories, anointed teacher leadership, was associated with a titled position. The remaining six categories described leadership functions that evolved from interactions between behaviors and given situations.

Behaviors and actions of teachers in titled, anointed leadership positions were different from the teachers who demonstrated other categories of leadership. Consequently, teacher leadership may be expressed in ways other than through an assigned role.

### Hypothesis Three

As a developmental process, teacher leadership is dynamic and ongoing. Teachers within a school may be at different stages of development.

This study revealed three stages of developmental leadership extending from self, to collaborative, and eventually transformational leadership. Teachers depicted themselves and others as progressing from one stage to another according to the types of teacher leadership being demonstrated. The principal also referred to a similar

progression when describing examples of teacher leadership. Additionally, teachers were perceived as demonstrating more than one type of leadership. The differences in the types of teacher leadership, the apparent developmental progression from one leadership type to another, and the prospect of demonstrating more than one type of teacher leadership, led to the hypothesis that differences in teacher leadership may occur along with differences in developmental stages.

#### Hypothesis Four

The principal's actions, behaviors, and thoughts influence the progression of teacher leadership development.

Each developmental stage of teacher leadership was associated in this study with specific actions, behaviors, and thoughts of the principal. Teachers indicated specific instances in which they progressed to another type of leadership due to the principal's influence. For example, because of principal support and recognition, a teacher applied to become a workshop presenter for district staff development sessions. The teacher accordingly progressed from instructional teacher leadership to the category of professional teacher leadership.

Similar to situational leadership (Hersey & Blanchard, 1988), the principal assisted teachers on an individual and/or group basis according to their demonstrated readiness

level. For example, teachers who indicated a willingness and ability to apply whole language strategies in the classroom were encouraged to demonstrate instructional strategies for others. Thus, a transition from scholarly teacher leadership to instructional teacher leadership resulted.

### **Implications for Educational Administration**

Derived from this study are four implications for educational administration. These implications are related specifically to principal leadership and the fostering of teacher leadership through the principal's actions, behaviors, and thoughts.

First, the social context of the school is a consideration in understanding the nature of teacher leadership. Although definitions of teacher leadership have been proposed in the literature (Rosenholtz, 1989; Wasley, 1991), the nature of teacher leadership appeared from this study to be context specific. This study documented the complex interactions between teachers and the principal. These interactions were interwoven with perceptions regarding teacher leadership and the types of leadership that were demonstrated. Differences in social dynamics and perceptions regarding leadership, therefore, may lead to differences in the nature of teacher leadership.

Because teacher leadership has the potential of being

context specific, the principal must be cognizant of the complex interactions which influence the social context of a school. If teacher leadership is to be promoted and influenced, the principal must be aware of the types of leadership emerging within the school context and be attentive to the social dynamics that foster as well as hinder teacher leadership development.

Second, the principal should be aware that teacher leadership can be demonstrated in varied forms at varied times by a number of teachers. The density and variety of teacher leadership roles was context specific in this study. The tie between teacher leadership and the social context, seemingly supported the demonstration of varied teacher leadership roles by individuals as well as groups of individuals. Furthermore, more than one type of leadership was evidenced at a given time. Variances in situational factors and the dynamics of social interactions were thus reflected in different forms of teacher leadership. Subsequently, acknowledgement of different teacher leadership forms appears to be a consideration in developing teacher leadership.

In promoting and influencing the development of teacher leadership, the principal must be aware of the different forms of teacher leadership that can potentially be demonstrated within the school context. Further attention should be given to (a) encouraging the development of



different forms of teacher leadership, (b) participating in the creation of collegial norms that allow teacher leadership to thrive, (c) acknowledging that the demonstration of teacher leadership is limitless, and (d) recognizing that an individual or group of individuals can demonstrate more than one type of teacher leadership at any given time.

Third, the principal should be aware that teacher leadership is a developmental process that can be influenced. In this study, teacher leadership evolved as a three stage developmental process. Hence, recognition of a teacher's developmental stage, altered the type of actions, behaviors, or thoughts the principal used to influence teacher leadership development.

Since the principal factors used for influencing teacher leadership development varied according to the teacher's demonstrated stage of development, an awareness of these factors appears essential. The principal should be cognizant of the types of actions, behaviors, or thoughts that can potentially influence teachers' actions, behaviors, and thoughts. Moreover, these factors should be used situationally according to the conditions under which teacher leadership occurs, the action/interactional forms the leadership takes, and the consequences that result from the demonstration of the leadership.

Fourth, the principal's actions, behaviors, and

thoughts have the potential of either inhibiting or promoting the progression from one developmental leadership stage to another. Reports from teachers within this study suggested that the principal influenced their actions associated with teacher leadership. They felt encouraged or prodded by the principal to demonstrate certain forms of leadership. The principal factors, therefore, were seemingly associated not only with promoting a given form of teacher leadership, but also with the progression from one stage of leadership to another.

The principal, as a result, must acknowledge the potential for influencing teachers to demonstrate additional forms of teacher leadership and to ultimately progress from one stage to another. Having acknowledged this potential, the principal can then personalize influencing actions, behaviors, and thoughts to the individual or group of individuals. A key to promoting progression from one stage to another would be the understanding of the individual teacher's stage of development, awareness of the teacher's maturity or readiness for demonstrating additional forms of teacher leadership, and the types of conditions that would promote or inhibit the teacher's progression to a higher stage of development.

In summary, teacher leadership seems to be a complex process that appears to be influenced by the principal's actions, behaviors, and thoughts within the social context

of the school. As a result, an understanding of the developmental progression of teacher leadership within the social context, as well as an awareness of the impact and consequences of the principal's actions, behaviors, and thoughts must be acquired.

### **Further Research**

Five recommendations for further research were derived from analyses of study findings and from examination of implications drawn. These recommendations would further articulate current understanding related to the phenomenon of teacher leadership.

First, the principal style of leadership selected for study was the initiator change facilitator style conceptualized by Hall et al. (1982), Hord (1981), and Rutherford (1981). Consideration should be given to the study of the two additional styles, the manager and the responder change facilitator styles, also reported by these researchers. Study of these additional styles would broaden the understanding of the nature of teacher leadership and further inform the practitioner of the impact of different styles of principal leadership on the development of teacher leadership.

Second, since teacher leadership appeared to be interwoven with the social context of the school, further study should be conducted in different school contexts to examine and to compare the impact of specific contextual

factors influencing teacher leadership development. By examining different social contexts, awareness of different contextual factors that have the potential of inhibiting or promoting the demonstration of teacher leadership could be gained. The identification of contextual factors would be of great interest to practitioners desiring to promote the development of a social context that encourages teacher leadership development.

Third, the situational characteristics of teacher leadership and the potential of leadership being related to the maturity, readiness level of the teacher offers another focus for further study. Since teachers viewed the principal in this study as helping them demonstrate a given type of teacher leadership and as assisting with their progression to another stage of leadership development, an understanding of maturity, readiness levels of teachers would be of benefit. This understanding would contribute to the practitioners awareness of the types of principal's actions, behaviors, and thoughts that would match a given teacher's stage of development.

Fourth, in conjunction with the study of teacher's maturity, readiness levels, further study should be conducted to determine whether there is a difference between novice and experienced teacher's maturity, readiness levels. This would be of particular interest to practitioners interested in developing teacher leadership and in designing

opportunities within the school context for the purpose of furthering teacher leadership through staff development activities.

Fifth, having recognized from this study the apparent density and variety of the forms of teacher leadership that can be found within a school context, further study is needed to examine the distinguishing characteristics of teachers who demonstrate different forms of teacher leadership. Being informed of teacher leadership characteristics, the practitioner would acquire a knowledge base related to the specific nature of teacher leadership. Identification and comparison of teacher characteristics related to different forms of teacher leadership would be of use in helping teachers recognize and develop general leadership skills.

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