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UNIVERSITY OF OKLAHOMA
COLLEGE OF EDUCATION

AN EXAMINATION OF SUPERINTENDENT BEHAVIORS
RELATED TO SUPPORTING SCHOOL-BASED CHANGE

A Dissertation
SUBMITTED TO THE GRADUATE FACULTY
in partial fulfillment of the requirements for the
degree of
Doctor of Education

by
ELIZABETH ANN ENNIS
Norman, Oklahoma
1996

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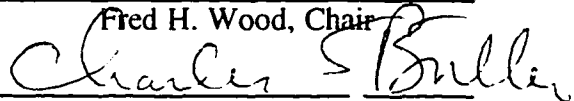
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A Dissertation APPROVED FOR THE
DEPARTMENT OF EDUCATIONAL LEADERSHIP
AND POLICY STUDIES

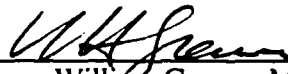
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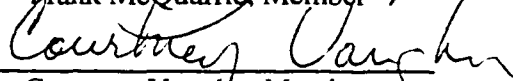
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ABSTRACT

A SURVEY OF SUPERINTENDENT BEHAVIORS RELATED TO SUPPORTING SCHOOL-BASED CHANGE

BY: ELIZABETH ANN ENNIS

MAJOR PROFESSOR: FRED H. WOOD

This study examined the opinions of public school superintendents in school districts using the /I/D/E/A/ School Improvement Process. The purpose of the study was to determine the importance of superintendent behaviors reported in the literature for supporting school-based change. Additionally, the superintendents were asked to provide reasons for selecting the most important behaviors and to identify those they believed important which were not found in the literature.

The Survey of Superintendent Behaviors (SSB) was developed by the researcher to collect data for this study. It included 33 superintendent behaviors related to supporting school-based change when working with school board members, school stakeholders, and central office administrators. The data were collected through a mailed survey that resulted in an 88% return. Frequencies, percentages, standard deviations, and means were used to report the data contained in the survey. Follow-up telephone interviews were conducted to discover the reasons for the superintendents' selection of the 14 most important behaviors. Interview data were categorized and analyzed.

Behaviors identified as most important when working with school board members to support school-based change included the importance of establishing an organizational structure to support change, developing parameters for school-based

decisions, clarifying board member support for school differences resulting from school-based decision making, and revising district policies when necessary to support school-based change. The most important behaviors with school stakeholders were concerned with providing staff development resources, communicating district values and priorities, and communicating directly with principals. The most important superintendent behaviors when working with central office staff included communicating through shared decision making and demonstrating collaborative behaviors.

The superintendents in this study identified 14 additional behaviors which they considered important for supporting school-based change. They included attending to the ongoing learning needs of board members and inviting them to serve on school planning teams. Other behaviors with school stakeholders and central office staff focused on ensuring diversity among citizens invited to join planning teams, expressing clear expectations for school-based decisions, and clearly defining the support role of the central office staff.

CHAPTER ONE

THE RESEARCH PROBLEM

Introduction

Historical descriptions of the position of the school superintendent in the United States depict a role which has emerged from a part-time secretary to the local board in the early 1800's to a current chief executive officer of the board of education and thus responsible for all aspects of the educational service. While changing times and societal trends have contributed to the complex role of the superintendent, it has been further complicated by the variety of expectations assumed of the role. Community members, board members, other school administrators, and superintendents themselves have widely varying views regarding what is expected of this school and community leader (Morphet, et al., 1982).

Background

Trends and issues of local and national perspective often stimulate a shift in the expectations which the public has of its superintendent. Contemporary history has indicated that issues of school integration, accountability, collective bargaining, and achievement of basic skills for all students are examples of issues which have focused public attention on the schools. As the chief executive officer of the school board, the superintendent has been perceived as the individual responsible for accommodating the public's interests. It has not been uncommon for superintendents to clash with the public over mixed perceptions of school issues, solutions to which may call for modifications of the manner in which the superintendent executes the role (Cuban, 1976).

The 1980's and the early 1990's were marked by a number of trends which appear to have implications for the role of the superintendent. One issue was a recognized need on the part of the public to improve the nation's public schools.

While it was an issue marked by repeated historic movements, the present debate over potential solutions to school improvement was focused on school restructuring (Tucker, 1988). A growing number of school districts were moving toward school-based decision making as a way to promote school restructuring. Ultimately, school-based decision making was perceived as a vehicle for substantive school improvement (Shanker, 1990).

The literature on modern business organizational practices popularized the notion of improving organizations by shifting increased authority to sites away from the center of administrative decision making. The assumption was that increased autonomy would provide conditions within semi-independent units which make it possible to achieve self-direction, commitment, ownership and ultimately increased productivity. This management philosophy was referred to as school-based management in the literature on education administration and organization (Lindelow, 1981).

Changing times and societal trends have historically impacted the evolution of the role of the superintendent. The current trend for school restructuring has stimulated a national move toward school-based management as a vehicle for enhancing the potential of individual school improvement. Increased public pressure to reform schools and a growing recognition of the need to improve the quality of human organizations in all sectors, placed renewed emphasis on the role of the superintendent. Increasingly these school district leaders were being encouraged to transform top-down bureaucratic organizations into ones which invited broad participation and shared leadership by parents, teachers, principals and community members. This suggested a need to examine role expectations

among superintendents (Schlechty, 1992; Marburger, 1989; Lewis, 1989; and David, 1990).

Need for the Study

The role of superintendent has been an evolving one. Historically, as society shifted concerns about public education, the role of the superintendent evolved to meet emerging demands and challenges. The current emphasis on effective schools has highlighted the role of the principal and dominated the research, implicitly ignoring the pivotal role superintendents play in giving legitimacy to school reform and the crucial interplay between central office and school site that can spell the difference between implementation success and failure (Cuban, 1984).

At the time of this study school-based management was a growing trend among school districts attempting to restructure schools. Little was known about the strategic role superintendents played in successful implementation and management of this organizational arrangement. The research in this area was limited and tended to focus on issues of decision making, parent involvement, and roles of teachers and parents in determining school improvement activities and programs (Lewis, 1989). In fact, repeated data base searches between 1990 and 1995 of the Comprehensive Dissertation Indexes, the Education Index, and the Current Index to Journals in Education indicated an absence of data regarding the role of the superintendent in leading school-based management and change.

While it was assumed that the success of school-based change depended upon the support of the superintendent, there was little evidence which described the nature of the support and how superintendents perceive their role regarding

power sharing, information sharing, and accountability sharing with decision makers at local schools. In addition, there was little information which described the superintendent's role in working with board members and citizens when shared governance issues competed with the establishment of legal parameters set by local policy and state laws (Schlechy, 1990).

Griffiths (1966) traced the role of the superintendent and urged a rethinking of emerging structural aspects of the school organizations, as well as aspects of expectations thought to be continually evolving. He urged superintendents to embrace a belief in the great need for modern thought in order to stimulate continued educational change. As if his words were a prologue to current school reform, an interest in school restructuring stimulated a flurry of reports, mandates, goals, regulations, and activities at the national, state, and local levels of school organizations and governing bodies. While they were generally written to promote improvement in education for a new age and attempted to describe new roles to support innovative practices, these reports and responses to them were largely silent on the role of the man or woman at the top of the school organization, concentrating mainly on roles for teachers and principals (Paulu, 1988).

Even as the focus for school reform appeared fixed on the assumption that the school is the key unit of change (Goodlad, 1984), common sense and historic perspective suggested a need to understand the role of the superintendent as key to promoting belief in and support for enlarging the capacity of schools to be self-determining organizations. Schlechy (1988) reported that a majority of proponents of restructured schools overlooked the role of district level personnel and the functions of leadership variables in shaping conditions under which reform in

schools and classrooms can occur. He suggested a restructuring of relationships between superintendents, boards, and other role groups in the school system and argued for rethinking the assumptions held about schools and school reform. Calling on writers and scholars to help communicate this need, Schlechy cited the current absence of literature on the role of the superintendent and the lack of understanding about the specifics of the superintendent's role in restructuring effective school systems.

Fullan (1982) described the district superintendent as the "single most important individual for setting the expectations and tone of the pattern of change within the local district" (p. 159). It was his belief, however, that descriptions of this leadership role were typically presented as abstract theories of leadership absent of concrete referents. In a report of their research on the role of the superintendent in creating instructionally effective school districts, Murphy and Hallinger (1986) remarked that "research on the superintendency in general is surprisingly limited" (p. 214). Their study, however, while clarifying issues of curriculum and instruction as related to the role of the superintendent, did not contribute to an understanding of the role when the incumbent is engaged in leading school-based change. Similarly recent studies have focused on the role of the superintendent as a leader of instructional effectiveness (Griffin, 1992; Wolf, 1987).

Among the few role studies of superintendents, the most notable were those by Mintzberg (1973), who utilized work activity methodology. While his studies shed light on administrative tasks of superintendents, they provided little insight into the role of the superintendent as a leader of school restructuring and, more specifically, school-based change. This was confirmed by Bridges (1982).

Despite the importance of this administrative role (the superintendency) to education and society, only a few studies analyzed in this review investigated the impact of the chief executive officer on the rate or success of school-based change. There was a significant absence of empirical data on the topic of the superintendent's role in supporting systematic change in public schools.

There was a need for this study in order to find out what superintendents believed were important behaviors for their role when supporting school-based change programs. This initial study of the role of the superintendent was significant because it provided perceptions of superintendent behaviors not previously researched on school-based change and the role of the superintendent. This study was also significant because it was focused on superintendents of school districts where schools were using a systematic school-based change process. The school-based change process that was used was the /I/D/E/A/ School Improvement Process.

Since 1982, the Institute for Development of Educational Activities (/I/D/E/A/) has been training school site facilitators to lead school planning teams toward identifying, envisioning, planning, monitoring, and evaluating programs to bring about improvement in schools. Training in such school districts was generally the result of superintendent interest in fostering broad based leadership and decision making for school-based change. While /I/D/E/A/ has operated from a perspective that the superintendent was a key player in such a process, there has been no research to date on which to base this assumption (Paden, personal communication, September 13, 1995).

Purpose of the Study

The major purpose of this study was to provide initial inquiry into the role of the superintendent when supporting school-based change. The study examined perceptions of the superintendent's role held by superintendents who were in districts where schools were engaged in the /I/D/E/A/ School Improvement Process. The study determined the extent to which superintendents agreed with leadership role expectations defined in the literature on the management of organizational change, and the relative importance of superintendent role behaviors needed for successful implementation of school-based change. The study identified the way superintendents viewed their role with board of education members, school stakeholders, and central office staff when supporting school-based change.

The specific research questions addressed were as follows:

1. What behaviors reported in the literature do superintendents involved in the /I/D/E/A/ School Improvement Process believe are most and least important to use with board of education members, school stakeholders, and central office staff when supporting school-based change?
2. What reasons do superintendents involved in the /I/D/E/A/ School Improvement Process give for identifying the most important role behaviors for supporting school-based change?
3. What role behaviors do superintendents involved in the /I/D/E/A/ School Improvement Process identify as important for supporting school-based change which were not included in the literature?

Definition of Terms

Role Analysis: an examination of expectations for the direction and intensity of behaviors associated with a position (Gross et. al., 1958).

Role Behaviors: actions directed in order to attain desired goals are considered behaviors through which organizational expectations are defined and communicated (Hersey and Blanchard, 1982).

School-Based Change: a decentralized form of organization in which decisions are made by those closest to the source of education: the principal, teachers, parents, community groups, and students (Marburger, 1985). The term is synonymously used with school-based management, school-based improvement, school-centered decision making.

Participative Decision Making: a process in which the authorizing individual or body voluntarily shares decision making with those affected by these decisions while continuing to assume responsibility for such decisions (Lindelow & Heynderickx, 1989).

Restructuring: making the necessary adjustments in rules, roles, and relationships in education so that desired changes can be made in what schools can do and the kind of outcomes they produce (Harvey & Crandall, 1988).

School Stakeholders: teachers, parents, principals, community members, central office staff selected to join planning teams, other school administrators, and students who had a vested interest in the quality and effectiveness in a school. School stakeholders were those included on school planning teams organized for the purpose of leading school-based change.

Limitations and Delimitations

This study was conducted under the following limitations and delimitations:

1. The data were gathered from a select group of superintendents who were recommended by the Institute for Development of Educational Activities (I/D/E/A). Consequently, findings from this study may be limited to superintendents in school

districts using systematic change processes similar in design to the /I/D/E/A/ School Improvement Process.

2. The data were descriptive of the participants' perceptions and should be regarded as such.

3. The questionnaire used in this study examined only the superintendent role expectations reported as important in the literature. Although interviews with respondents may add new role expectations, further systematic inquiry will be needed to confirm them.

Assumptions

The study was conducted within the framework of the following assumptions:

1. School-based decision making is an appropriate organizational arrangement for promoting improvement in school climate, planning, decision making, and productivity in schools (Levin, 1987).

2. The superintendent is ultimately responsible for the total operation of a school district and is critical to the success or failure of school-based change efforts (Schlechy, 1990).

3. An incumbent's perceptions of role expectations are reliable indicators of intended direction and intensity of role behaviors (Gross et. al., 1958).

4. Theory based descriptions of leadership role behaviors exist which, when performed, will very likely lead to successful implementation of an effective organization defined by decentralized, shared decision making.

5. The responses by superintendents were assumed to be accurate and reflective of the best insights of each individual at the time during which the survey was completed.

6. The superintendents selected for this study provided the best source of information about appropriate role behaviors for superintendents because respondents had direct experience with schools implementing a systematic school-based change process.

Summary

This chapter provided an introduction and description of the need for the study, the purpose of the study, and the questions to be answered. Also included were the definition of terms, the limitations and delimitations of the study, and the assumptions under which the study was undertaken.

The remainder of this thesis will consist of four chapters. Chapter Two will present a review of the literature pertinent to the study. Chapter Three will present the research procedures used to conduct the study. Chapter Four will present the findings of the study, including an analysis of the data. Chapter Five presents the summary, conclusions, and recommendations of the study.

CHAPTER TWO

REVIEW OF THE LITERATURE

Introduction

Chapter Two presents a review of the literature related to this study. The literature search was conducted by completing a computer search of related terms and by consulting the Comprehensive Dissertation Indexes, the Education Index, and the Current Index to Journals in Education. The literature search covered the period of 1980 to 1995.

This review examined three areas which serve as the foundation of the study. The first area is the role of the superintendent. It was treated as an historical overview for the purpose of illustrating the relationship of role behaviors to administrative thought and societal expectations. The second area is a review of contemporary literature on leadership and organizational change. This area provided the focus for analyzing superintendent role expectations which support the beliefs and behaviors selected for use in this study. The third area is a summary of role analysis methodology. It provided a focus for synthesizing the body of literature on historical trends in the development of the superintendent's role and provided a rationale for the development of the survey of behaviors used in this study.

The remainder of this chapter will present the review of related literature for the three areas just described. At the end of the section on each topic, summary comments will relate the literature to the study.

The History of the Superintendency

The development of the role of the public school superintendent has been the result of emerging administrative theories and changing expectations held by

members of society and role incumbents themselves. It is probable that both theory and public expectations have converged at critical moments in the history of public education to place emphasis on the manner in which public schools carried out their mission in society. Hence, the role of the superintendent has historically been viewed as vulnerable to outside pressure. At such times superintendents created conceptions of their role which crystallized around such expectations (Cuban, 1976).

The Superintendent as Scholar and Teacher

Early superintendents were seen as education evangelists and scholars whose role was to guarantee sound and moral teaching principles among rural, village teachers and report to the local school committee the progress of students in accordance with prescribed lessons and procedures. Gilliland (1935) studied the original duties of superintendents in 26 cities. He found that the greatest number of duties were in instruction and the smallest number in financial administration. Even though many early superintendents had not graduated from college, they saw themselves as scholars (Griffiths, 1966). Most of the early school leaders were part-time school reformers who made their living as farmers, ministers, college professors and business men. History reveals that they were engaged in an institution-building social movement which helped to construct a common school system. "They were typically British-American in origin, Protestant in religion and entrepreneurial in economic outlook. While they assumed to be speaking for all Americans, they wore the blinders of their class, religion and ethnic background" (Tyack & Hansot, 1982, p. 21).

As a number of new cities passed rapidly through the village stage of school organization, governance issues became apparent and resulted in centralization of school services. It was not long until, at the turn of the century, public schools in

developing metropolitan centers were being organized as large, centralized and bureaucratized school systems (Callahan, 1962).

The Superintendent as Business Expert

The emergence of the superintendent as chief business manager corresponded with the rise of the industrial era in America. Urban school leaders were expected to possess a new kind of expertise which could match the demands of educating increasing numbers of students in growing heterogeneous cities. Conflicting values were perceived as a threat to the old pattern of Protestant socialization, decentralized decision making, and pedagogical uniformity (Tyack, 1982). The pressure of numbers and a sense of public schools being out of control prompted a change in the emerging role of the school superintendent.

The idea of a school superintendent as a chief business manager seemed to fit the demands of the period and held the potential for uniform distribution and monitoring of school services. While initiatives for transforming public education into a consolidated and bureaucratized institution began in the cities, the organizational revolution set the pattern for public education in the twentieth century, in the countryside and metropolis alike (Tyack, 1974).

The influence of scientific management principles on the early development of the role of the superintendent clarifies the hold of business ideology on education. Whereas early superintendents had little responsibility for business management, school buildings, or finance, a marked change in role expectations occurred in the period of school reform of the late nineteenth and early twentieth centuries. The superintendent as teacher-scholar faded as the demands of the role forced expectations in areas of school building, finance, uniform data reporting, and the efficient delivery of uniform education to increasing numbers of school children (Callahan, 1962).

The new reformers of education reacted to the efficiency movement in America by applying the same standards of accountability to schools as business men and industrialists were applying to their organizations. Between 1911 and 1925 big city superintendents were proud to be referred to as "educational efficiency experts" (Callahan, 1962). Efficiency procedures were applied to classroom learning, to programs of study, to administrative functions, and entire school systems. In 1916, Ellwood Cubberly, a leading educational administrator and dean of the School of Education at Stanford University published what was to become the most widely used text in preparation programs for school superintendents (Callahan, 1962). In it he described the emergence of the educational efficiency experts as "one of the most significant movements in all of our education history" and added that "their work would change the whole character of school administration" (p. 189).

In reflecting upon the era of the educational efficiency expert, Callahan's (1962) contention was that superintendents defined their role and likewise made decisions by applying efficiency standards to content, organization and financing of schools. His "vulnerability thesis" explained the role enactment of the superintendent as one which compromised the ideals of education by minimizing them to the least possible financial cost. It was his theory that the superintendent of the efficiency era retained popularity and position by embracing business beliefs about the proper manner for running large organizations, thereby negatively influencing the development of public education according to economic priorities.

Because the efficiency movement coincided with a major period of institution building in America, the influence of values and principles of that era dominated a view of public and private organizations long past a time of their general popularity. In fact, nearly a century later, public school superintendents

continued to apply standards of accountability and efficiency to school systems not unlike those established in the era of "the educational efficiency expert" (Griffiths, 1966).

The Superintendent as Educational Statesman

The image of the superintendent as a businessman reached its maximum about 1930 (Griffiths, 1966). As education came under the influence of an emerging democratic ideology, societal expectations prompted changes in the manner of leadership styles considered acceptable for public and private institutions. The human relations movement in industry closely paralleled the democratic administration movement in education. The period was marked in education by the growth of teacher organizations, collective bargaining and the advent of negotiated contractual agreements. Public agencies emerged to serve the health and welfare needs of citizens striving to succeed after surviving the depression years. Public schools were expected to be sensitive to the need for increasing social services and to adapt to a public grown weary and mistrustful of big business approaches to the treatment of human beings (Tyack, 1974). Even though large city school superintendents continued to control their systems through prescribed rules, regulations, and by delegation of responsibilities, they expanded school programs to meet the needs and expectations of the public.

In the period from the 1930's to the early 1950's, big city superintendents emerged as educational statesmen. Their leadership during this period reflected a need to respond to the popular acceptance of social and behavioral science theories. The superintendents' consciousness of their own and the schools' relationship to a dynamic, free society in which conflicting pressures were an inevitable part was a significant development in understanding and performing the leadership role (Newlon, 1934). Newlon had long been a persistent and strong critic of the image

of the superintendent as an efficiency expert. As superintendent and professor at Teachers College, Columbia, he criticized the lack of emphasis on the "why" of administration and influenced the development of preparation programs that would include the disciplines of political science, sociology, and social psychology (Tyack, 1974).

Some of the topics presented to and discussed and disseminated by the American Association of School Administrators (AASA) during this period were illustrative of Newlon's influence and were a recognition of a changing role for superintendents: Character Education, 1932; Educational Leadership in a Dynamic Civilization, 1933; Social Change and Education, 1935; and after World War II, Policies for Education in American Democracy, 1946; Schools for a New World, 1947; and The Superintendent in the Public Relations Program, 1950 (AASA, 1952, p. 59).

The Superintendent as Negotiator

The role of the superintendent as negotiator developed as a response to emerging theory in administrative thought and the increasing number of political coalitions asserting influence and power in the external environment of public school systems. Political thinking and decision making determined the behaviors which defined the role of the superintendent in the context of leading by negotiating. It was a leadership role which emerged from a view of organizations very different from previous theories of administrative thought and represented a major paradigm shift in the development of the role of the superintendent (Sergiovanni, 1987).

At least four characteristics distinguished political and decision making views from the efficiency view of organizations: (1) a primary concern with the interaction of the school system and its external environment as opposed to primary

concern with the internal aspects of the environment, (2) an emphasis on policy development as opposed to the administering of controlling effects of policy decisions, (3) an acceptance of conflict as a natural and necessary process of organizational improvement as opposed to a view which seeks to suppress, control or resolve conflict, (4) an acceptance of the organization as non-rational as opposed to a view which insists upon norms or rationality, order, and linear decision making (Sergiovanni, 1987).

In the study of the leadership role among three big city superintendents, Cuban (1976) found that his subjects were ill prepared to apply the level of political and decision-making skills needed of a negotiator leader in the era of school controversy in the 1960's and early 1970's. Besieged as it seemed from all sides, big city superintendents were forced to react to a multiplicity of public conflicts, protests, and political and social pressures. Superintendents had to face unfamiliar demands, expectations, and groups. Situated as they were as heads of complex organizations, historically vulnerable socialized as executives, and constrained by a set of environmental forces impinging upon local school systems, they often responded in ways which were appropriate to their training and experience but ineffective for the times. Among the big city superintendents who made it through such turbulent times, the dominant leadership pattern that seemed to provide for survival was that of negotiator-statesman (Cuban, 1976).

The Superintendent as Cultural Leader

The formal history of the role of the superintendent concluded with a view of the role that focused on aspects of each period in the development of administrative theory and societal expectations. While the 1990s were to be interpreted by scholars and historians, a body of literature on modern management theory and current theory on school administration suggested that expectations

regarding the role of the superintendent were changing. As demands for school reform became increasingly defined by issues such as organizational restructuring, school-based management, and participatory decision making, superintendents were discovering a need to develop skills appropriate for leading organizations that were responsive to public initiatives, supportive of members' desire to participate, and capable of purposeful renewal.

A prevalent theme in the rhetoric of educational reform emerged at the time of this study. Concepts of mutual assistance, cooperative work relationships, an opportunity to feel one's efforts were contributing to the achievement of organizational goals, and participation in goal setting were key elements in defining productive organizations (Thompson, 1988). The leadership model which supported this view of an effective organization had implications for the role of the superintendent in the 1990's and beyond. Specifically, the role was associated with the cultural aspects of the school system in the same sense as concerns for efficiency, the person, and political negotiating and decision making contributed to defining the superintendent's role to this time (Sergiovanni, 1987).

An accepted rationale for applying the cultural perspective to the role of the school superintendent stemmed from Weick's (1976) theory of schools as loosely coupled systems. The imagery of such systems suggested clockworks gone awry and parts spinning independently and unpredictably. The metaphor suggested that schools operated more like independent parts than were acceptable in the traditional view of systems. The concept of rational management strategies changes when efficiency and person views were relied upon as the primary goals for determining leadership roles and functions (Sergiovanni, 1987).

Leadership activities associated with the cultural view suggested a role for the superintendent that included defining and articulating the primary mission of the

organization as selecting, displaying, and referring to symbols which define what the organization is about, demonstrating the shared values of the organization, bonding members through collective action and relying upon the need for members to find meaning for their organizational contributions in goal setting, decision making, planning, and owning the outcomes of the efforts (Sergiovanni, 1990; Greenfield, 1988; Deal, 1990; Bennis & Nanus, 1985).

Superintendents confronted with public demands to restructure schools have responded to a variety of mandated structural changes. Merit pay, teacher evaluation, legislated shared decision making, and goal setting were examples of first order changes which overlooked the importance of deeper, more durable cultural values beneath everyday behavior (Cuban, 1984). Second order changes were increasingly becoming recognized as requirements for transforming public schools. Writers attempting to clarify the messages of the second wave of reform literature consistently spoke to value issues as imperatives for substantive school reform and improvement.

Emerging literature on effective corporations gave considerable attention to the role of the chief executive officer in shaping the values of the organization and inspiring others to pursue those values. Schlecty (1988) perceived that current ignorance of the role of the superintendent as a leader of effective school systems, leads to an assumption that the characteristics of effective superintendents and effective school systems were not too dissimilar from those of effective leaders in knowledge work organization. Among such characteristics was a view of the leader as the moral and ethical center of the organization. Schlecty (1988) viewed the moral imperative as essential to the reconceptualization of the superintendent's role.

The literature on the role of the superintendent was reviewed in order to relate the purpose of this study to a documented historical perspective, that being the influence of historical context and societal expectations of the development of the role of the public school superintendent. The literature supported the assumptions regarding such influences and presented evidence which suggested that the current era was one which would stimulate changes in how the role was generally perceived.

Leadership and Organizational Effectiveness

While there is a large body of literature concerning organizational change through decentralization of authority, the descriptions have generally overlooked public school systems. Until very recently school-based management was not a concept widely considered in the literature on school organization and administration. Consequently, this researcher found few studies that examined expectations for the role of the school superintendent in leading school-based change.

The following section discusses beliefs about school-based change and superintendent role expectations identified in the literature on public school administration leadership and effective organizations. It is organized to present the findings of research and the informed opinion of scholars that supported the items in the Survey of Superintendent Behaviors used in this study.

The initiation of school-based change has generally required school district leaders to learn new behaviors in order to manage the complex conditions that occur in a decentralized organization. The literature is steeped in research on leadership and organizational change and has implications for the role of the superintendent. For the purpose of this study it was necessary to focus on areas considered

important for initiating whole system, decentralized, school-based change. In order to arrive at a description of superintendent behaviors considered important for supporting school-based change, the findings from the literature were identified and organized in three topical areas: the superintendent's role in shaping and communicating organizational values and purpose; the superintendent's role in shaping the organization's structure and decision-making processes; and, the superintendent's role in providing support and recognition to organizational members, particularly those assuming leadership roles in the initiation and implementation of school-based change.

The Superintendent's Role in Shaping and Communicating Organizational Values and Purpose

The leader's influence on the culture of an organization is more about the values one holds than it is about one's charisma. Burns (1978) has suggested that moral leadership was a process which influenced the relationship between leaders and followers that became the basis for shared motives, values, and goals. This suggested that a vision for an organization emerged from the participation of its members through activities designed to promote decision making and action that would reflect the organization's values. The leader's behavior would have the potential to cause awareness in others for what they felt and, thereby, be influenced toward action. When the environment was inviting, promising, and the leader was viewed as moral and trustworthy, the shared values and commitments could bond the members of the organization together in a common course of action (Sergiovanni, 1992; Conley, 1993). If schools were to be improved, the superintendent needed to recognize that a major focus must include attention to the organizational culture influenced by shared values, ideas, and beliefs.

When the superintendent behaved in ways that reflected concern for involving school district members in defining shared values, the role incumbent was viewed as a leader willing to stimulate questions, encourage dialogue, and influence the culture by helping members understand successful change as long term and systematic. Cunningham and Gresso (1993) suggested that these were key elements for building the capacity for schools to engage in substantive improvements. When the superintendent articulated belief in others to determine their work, then he or she demonstrated a value for the professionalism of teachers. Leaders were being asked to use their personal power for overseeing the development and implementation of the school district's values through program decisions made by others in the schools (Conley, 1993; Lieberman, 1995). Such leadership resulted in the use of school planning teams, asking questions of school leaders and change initiators, supporting and being open to conflict and tolerating mistakes which resulted from initiating change.

When the superintendent transferred authority to school change initiators, the professionalism of teachers was enhanced and the culture of the organization reflected a valuing of people in the organization and a trust in their commitment to the work and purpose of the school district (Cunningham & Gresso, 1993). Wheatley (1992) suggested that the leader's role was one of conscience, mirroring for people the purpose of the organization and asking if what was being done was congruent with what people were saying they were trying to become. A decentralized school system valued the independent nature of those leading change while fostering support and involvement. The moral imperative at work in a transformed organization was summed up in the basic principle of servant

leadership which held that leaders instill the institution with the spirit of people, their humor, honor, freedom, and their power to live fully while serving each other and those who are recipients of their efforts (Frick & Spears, 1996; Burns, 1978; Sergiovanni, 1992).

Servant leadership was evidenced when he or she attended to the learning needs of school planning teams by supporting their need for new information and staff development; gave authenticity to the work being asked of change initiators; and, communicated a commitment to long-range problem solving as opposed to quick-fix solutions (Frick & Spears, 1996). The superintendent communicated commitment for the work of school planning teams when time was spent in the community teaching the value of ongoing change and improvement; by describing the work that schools were doing; and, defining what the school district and community goals and values were for students and staff. The superintendent, then, was seen as one who nurtured the concepts and values of the district through actions which communicated a commitment and trust in others, a willingness to use power and influence in the area of ideas and outcomes rather than the use of power over people and their work and a willingness to share authority with those closest to students (Cunningham & Gresso, 1993).

The Superintendent's Role in Developing Organizational Structure and Decision Making Parameters

The work of involving others in initiating school-change programs inevitably leads to issues around the question of power, about who will decide, what can be done at the school level, what can be changed, and how to develop processes to work together to support each other at the personal, school, central office, school district, and university levels (Fullan, 1991). A structure defines the organizational arrangements, roles, finances, governance issues, and formal

policies that explicitly describe the working conditions that will allow for school-based change and improvement. Members of school planning teams and other teachers attempting to install new programs need time for team planning, staff development, arrangements of groups to provide training of trainers, and techniques for knowing ways to communicate school improvement procedures, goals, and plans to those who are involved at the school and district levels (Fullan, 1991; David, 1990; Schlechty, 1990).

Cuban (1988) described change as first order and second order, or from efficiency and effectiveness to the substantive alteration of the school district's parts, including new goals, structures, roles, and formal relationships. When school districts were decentralized and authority for making decisions about program improvements was focused at school sites, the culture and structure of schools were impacted. New roles and the recognition of the new responsibilities become critical aspects of the change process. Wood, Caldwell, and Thompson (1986) reported on the responsibilities of the school board as key decision makers in organizational change efforts. The superintendent needed to facilitate group decision making with the board of education and provide training for school board members about the impact of decentralized decision making. The board of education, in turn, needed knowledge and understanding in order to provide support and flexibility for schools to achieve their outcomes. They would need to know, understand, and take action to manage the dynamics of decentralization in a restructured system (Schlechty, 1990).

Inherent in changing organizational structure was the challenge of establishing parameters for decisions. Bottom-up and top-down decision making has been viewed as an effective way for schools to be creative and entrepreneurial while aligning with overall district goals for student learning. Rules, however,

could be adjusted, changed, and reconsidered, but not without processes in place for communicating and collaborating with the appropriate individuals impacted by decision making. Therefore, the superintendent needed to work with the board of education, principals, and employee group leaders to help them understand and work in a structure where old hierarchical arrangements were shifting to an open organization described by networks, changing interests, and new priorities. The superintendent needed to facilitate group decision making, encourage collaboration, share management resources, work with the board to provide support and flexibility for schools, and know, understand, and take action to manage the dynamics of decentralization in a restructured system (Cunningham & Gresso, 1993).

The Superintendent's Role in Providing Support and Recognition

When a school district embarked on a journey of improving schools by involving key stakeholders in planning the route, it was likely that even though the destination, while clear in the minds of those initiating the change, would be considerably different than was anticipated. If the values and norms of the organization were clear and if the leader evoked the passion and commitment from followers sufficient to engage in the work of change, the next crucial actions on the part of the leader would be in the areas of providing needed support and extending recognition for the people engaged in the work of creating change (Owen, 1990; Fullan, 1991; Goldsberry, 1995; and Lieberman, 1995). The superintendent supported the work of others by valuing what they did; by providing the appropriate resources and support for their work; by providing opportunities for professional renewal in the form of staff development and new leadership opportunities; by attending to the problems and conflicts that emerged from change activities; by monitoring new programs for the purpose of discovering ways to assist; by communicating results to those with legitimate need and interest in

knowing them; by allocating support staff and resources in a manner that links them to school-based change initiatives; and by involving change initiators in decisions at the district level that directly impacted the work of school-based planning teams. In short, support from the superintendent provided the capacity for schools to engage in substantive change resulting in improved schools for students and the staff who worked in them (Fullan, 1991; Wood, in press).

Role Analysis Methodology

The concept of role has developed as a primary research field in the behavioral sciences. As a result, a comprehensive body of knowledge existed to assist researchers in analyzing multiple aspects of roles in any number of contexts and for diverse purposes (Newell, 1978). Consequently, role theory and research provided useful information concerning administrative roles and practices.

Among the concepts important to research in role analysis were position and situation, expectation, and behavior (Gross et. al., 1958). Clarity of role analysis demanded specification of the positional sector to be treated in a particular inquiry. An example of the positional sector in this study was the location of the position of the superintendent of a public school system. The position was recognizable in the hierarchical arrangement within school systems and recognizable in so far as influences perceived to be attached to the authority of the position.

Depending upon the purpose of a study, it would be appropriate to apply situational elements to a role analysis. These elements provided a focus for viewing a role by asking what expectations were held for the position incumbent in particular situations or contexts (Gross et. al., 1958). In this study, an analysis of the superintendent's role was focused within the context of the specific organizational influences of school-based change.

Expectations were assigned to individuals on the basis of their positions or locations in social systems. Newcomb (1951) defined expectations as beliefs about how individuals should behave when occupying a specific role. He used expectations in the normative sense and suggested the appropriateness for seeking consensus on role expectations. Gross (1958) believed that consensus around behaviors was more likely to contribute to understanding social behavior than seeking consensus about attributes. He also suggested that it was unlikely to find empirical evidence of complete presence or absence of consensus surrounding expectations for behaviors. He maintained that there was value in locating social data which might reveal some kind of central tendency or strain toward consistency.

Newcomb's (1951) role theory explained role position as static and the role itself as being dynamic and inclusive of the behaviors of the role occupant. His theory was an integrated approach to understanding role, expectations, and behaviors. The concept defined expectations as being synonymous with behaviors perceived as appropriate to the individual occupying a specific position.

A study of role expectations was incomplete without determining dimensions of a single expectation. The dimensions of direction and intensity provided the necessary information for understanding support for or against a behavior and the degree of interest in a specific behavior (Gross et. al., 1958). In addition to examining dimensions of expectations, it was relevant to apply the concept of role segmentation or categorization in a study of role analysis. One such segment is behaviors and attributes. Parsons (1951) suggested that the investigator distinguish between behaviors and attributes or what position incumbents should do as opposed to what they must be. This study analyzed the role of the superintendent from a perspective of expectations for behaviors.

When considering legitimate populations to be selected for defining role expectations for a specific position, no restrictions were necessary. Depending upon the particular interests of the researcher, role expectations could be those of position incumbents or non-incumbents (Gross et. al., 1958).

Summary

The literature on the history of the superintendent, and on leadership and organizational change was reviewed in order to relate specific concepts to superintendent behaviors considered important for supporting school-based change. The literature provided a basis for including behaviors in the instrument developed for this study.

This summary of literature on role analysis provided information about research methods to be applied in a study of a specific role. In addition, the literature provided evidence of the importance of role analysis theory in understanding the influence of expectations upon the behavior of position incumbents in social systems. The following chapter describes the design of the study and methods used to collect and interpret data.

CHAPTER THREE

DESIGN OF STUDY

Introduction

This chapter details the specific procedures utilized in conducting the study. It begins with an explanation of the population and the sampling procedure. A description of the instrumentation used in the study follows. This section details the development of the Survey of Superintendent Behaviors, its characteristics, and scoring procedures. Also, the interview protocol is described, as well as data collection procedures. The final section of the chapter discusses the analysis of the data.

Population and Selection

The population for this study was the role group of superintendents in school districts with one or more schools engaged in the /I/D/E/A/ School Improvement Process between 1990 and 1994.

/I/D/E/A/, the Institute for the Development of Educational Activities, was established in 1965 with a mission to continuously improve elementary and secondary schools in the United States. Originally, the educational arm of the Charles F. Kettering Foundation in Dayton, Ohio, /I/D/E/A/ became independent and self-supporting in 1982, retaining its foundation status. /I/D/E/A/ fulfills its mission in three important ways: by providing educators with a broader perspective, by empowering schools to change, and by working directly with individual schools as external consultants. /I/D/E/A/ was committed to the empowerment of schools for continuous improvement and provided leadership, encouragement, and support through training in a variety of programs (Cunningham & Gresso, 1993).

The program known as the /I/D/E/A/ School Improvement Process was designed to respond to critical needs of school planning teams wishing to build school improvement through sustained, long-term efforts. This site-based school improvement process relied upon a cycle of dialogue, decision, action, and evaluation. /I/D/E/A/ prepared principals, teachers, and parents with the skills needed to facilitate heterogeneous school planning committees. Workshops to train facilitators in the use of the school improvement process were conducted several times a year.

Training was experiential so that participants were able to plan school meetings and utilize skills developed through the /I/D/E/A/ training. Participants learned how to select planning team members, facilitate agendas, teach decision-making skills, and lead a school planning team through the multiple stages of school improvement activities.

The /I/D/E/A/ School Improvement Process provided school leaders with a system for school-based management. Establishing school readiness, forecasting for planning needs, identifying staff development needs for participants in the anticipated new programs, implementing school improvement strategies, monitoring for program needs after implementation of the specific improvement effort, and appraising the effects of school improvement initiatives comprised the total /I/D/E/A/ School Improvement Process (/I/D/E/A/ Training Manual, 1995).

In implementing a school improvement process, an individual school has the benefit of becoming increasingly aware of its focus and better able to determine where funds are needed to support agreed upon improvement efforts. As an example, one outcome might involve the district office asking schools to determine

where funds should be spent rather than assuming that all schools had the same needs for funds in such areas as instructional improvement, staff development, selection of instructional materials, and staffing. With an increased level of autonomy, the relationship between the central office and school has potential to shift from one of central controlling and directing, to school-based or school-centered decision making and central office support (Wood, 1993).

To identify the population for this study, /I/D/E/A/ staff were asked to identify the names of superintendents in school districts where SIP was being implemented and where there was evidence of the implementation of the major components of the process. In all, /I/D/E/A/ recommended 35 superintendents for this study. Recommendations were based on /I/D/E/A/'s knowledge of a school district's active participation in the school improvement process and having trained facilitators in the districts from 1990 through 1994.

The list of superintendents was checked for accuracy of current district appointment. In cases where superintendents were found to have retired or moved to some other position, they were contacted by phone and informed of their inclusion in the sample. During these calls it was explained that their reflections about experiences with the /I/D/E/A/ school improvement process were meaningful and, therefore, they were to be included in the sample of superintendents to receive a survey even though they were no longer active in the superintendency. Six of the 35 superintendents had either retired or left the district for another position.

Instrumentation

This section describes the development of the survey utilized for this study. The instrument consists of two parts, the Respondent Data Sheet and the Survey of Superintendent Behaviors (SSB). These are found in Appendix A and B.

The data sheet was organized to gather information about the superintendent, the district, and implementation of the /I/D/E/A/ School Improvement Process (SIP). The data sheet requested information from the respondents concerning their experience as a superintendent with the /I/D/E/A/ School Improvement Process (SIP), the type of district, size of district, extensiveness of SIP programs, number of schools involved in the SIP, and other characteristics of SIP implementation, such as the membership of school planning committees, the development of a school vision, and knowledge of school improvement programs. The superintendents were also asked to determine the level of district support for SIP as perceived by the superintendent, and the superintendent's opinion of how school stakeholders in the district perceived his or her support for school-based change.

Perceptions of superintendent behaviors believed important in supporting school-based change were assessed by using the Survey of Superintendent Behaviors. The survey was designed to determine the importance of behaviors embedded in the literature on the role of the leader in bringing about organizational change through decentralization of authority and the involvement of organizational members in school-based change efforts. The instrument contained 33 behaviors which were based upon assumptions and role expectations found in the literature on leadership behavior and organizational change.

The behaviors were organized into three sub-sets, each pertaining to a role group whose efforts in leading and/or supporting school-based change were believed to be affected by the behavior of the superintendent. The role groups included board of education members, school stakeholders, and central office staff. If a behavior was thought to impact more than one role group, it was repeated along

with other items for that group. Thus, some behaviors were listed for only one role group while others were listed for two or three role groups. This resulted in a total of 33 items on the SSB. Respondents were asked to circle the response which best reflected his or her level of agreement with each behavior. The response options for the instrument were arranged accordingly: 5, very important; 4, important; 3, neither important nor unimportant; 2, not very important; 1, not important at all. The respondents were asked to rate each behavior listed in each subset of behaviors according to its importance in supporting school-based change through the /I/D/E/A/ School Improvement Process. An open ended question followed the 33 behaviors on the SSB. It provided the respondents the opportunity to add behaviors they believed important for working with each role group, but which were not included in the survey. The survey of behaviors is included in Appendix B.

Validation of the Survey of Superintendent Behaviors

Four experts in the area of school change were asked to judge the content validity of the Survey of Superintendent Behaviors. Experts were selected on the basis of having met one of two criteria. The first criterion was knowledge of the subject as evidenced by having published on the topic. The second criterion was having practical experience working with school districts engaged in school-based change in either a consultant or staff member role. In each case, experts met the second criterion and were considered highly qualified to assess the content validity of items described in the SSB.

Experts were identified by consulting Jon Paden, Executive Vice President of the Institute for Development of Educational Activities, /I/D/E/A/. The organization is nationally recognized for its research, development, and training of personnel in school-based change programs. Four individuals participated in

validating the content for the SSB. They were Fred Morton, Program Associate, Institute for the Development of Educational Activities, /I/D/E/A/, Dayton, Ohio; Jon Paden, Executive Vice President, Institute for the Development of Educational Activities (/I/D/E/A/), Dayton, Ohio; LaVerne Scott, Director of the St. Louis Principals Center, St. Louis, Missouri; and, Jane Kendrick, Superintendent of Anderson Schools, Anderson, Indiana. Together they have worked with hundreds of school districts and superintendents in a variety of programs designed to promote school-based improvement activities. This qualified them to meet the second criterion.

Jon Paden has led the /I/D/E/A/ Fellows Program now in its 28th year. In addition, he and his associates developed the concept of vertical teaming, a process in which board members, superintendents, and other school members agree to participate in dialogue for understanding implications and organizational needs which emerge when shifting the school district structure to support school-based change. He also participated in the initial design and development of /I/D/E/A/'s SIP and has trained facilitators for the past 15 years.

Fred Morton has been responsible for the past seven years as the lead trainer of facilitators for the /I/D/E/A/ School Improvement Process. In this role he has worked closely with superintendents, both in training within the school improvement program, and as a consultant in organizational development helping superintendents to utilize the concepts of dialogue, decision, and action within their school systems, so that superintendents and central office can best support school-based change efforts.

LaVerne Scott, Director of the St. Louis Principals Center, St. Louis, Missouri has spent the last ten years developing school leaders and working with

an advisory group of superintendents in the greater St. Louis area, to shape the agenda for continuous learning by school leaders in the arena of school-based change. In his role he has worked at the state level in Missouri in order to train superintendents, principals, and other school leaders in school-based change techniques and the /I/D/E/A/ School Improvement Process.

Jane Kendrick, currently serving as superintendent of schools in Anderson, Indiana, played a key role in helping the schools in Hammond, Indiana with their early work in school-based change efforts. Hammond received national recognition for their innovative work with teachers' union, superintendent, board, and school staff in supporting systemic change resulting from school-based improvement efforts. Kendrick's work with Phil Schlechty and the Center for School Reform, was again in the area of helping school planning teams understand the elements of transforming organizations with a focus on the learning needs of all children (Lieberman, 1995).

A letter was sent to each expert which described the nature of the study and gave directions for reporting his or her opinion of the survey. In addition to the letter each expert received an appraisal form on which to enter his/her judgment of each item in the Survey of Superintendent Behaviors. The form was designed to elicit the expert's opinion on whether each item was or was not representative of the domain of content in the field of organizational leadership and change. This resulted in determining the content validity for the SSB. Both the letter and response sheet are included in Appendix C and D.

Items were assumed to have content validity if they provided an adequate definition of the literature supporting the topic of the study as determined by two of

three of the experts approving the item (Isaac & Michael, 1979). The experts were asked to provide suggestions for additions and deletions to the instrument along with written statements supporting their reasons for any recommendations, changes, or modifications. The instrument was revised to accommodate their analysis. Only minimum changes were recommended in the SSB. As a result of one expert's appraisal, however, the respondent data sheet was redesigned to include items related to the implementation level of the design components in the /I/D/E/A/ SIP.

Following the validation process for each of the survey items, the instrument was given to a group of eight school administrators. Among the group were two school superintendents, one retired superintendent, four administrators holding positions of assistant superintendent, and one administrator serving in the role of Director of Research, in a large suburban school district. A letter was mailed to each of the administrators explaining the study and asking for their assistance in determining the overall clarity, readability, and design satisfaction of the respondent data sheet and Survey of Superintendent Behaviors. A letter to each of the administrators is found in Appendix E. A response form for reporting individual satisfaction with the instrument is found in Appendix F.

This group of administrators was asked to respond to the survey by assessing the clarity of each item and marking either one of two columns, marked Yes or No. Clarity was determined to exist if the items were understood by the respondent and if, in his/her opinion, directions were clear. Opinions about readability and satisfaction with design were also elicited from each of the eight administrators. Their response choices were satisfactory or unsatisfactory for the

respondent data sheet and Survey of Behaviors. Recommendations by administrators who evaluated the instrument were analyzed and used to increase the clarity of the items on the Survey of Superintendent Behaviors.

Data Collection

The researcher asked /I/D/E/A/ Executive Vice President, Jon Paden, to write a letter which described the study, gave testimony to its usefulness, and encouraged superintendents to respond. The letter was mailed to 35 superintendents. A copy of Jon Paden's letter may be found in Appendix G.

Following the distribution of the letter from /I/D/E/A/, a packet of materials was distributed by first-class mail to the 35 superintendents. Each packet included:

- (1) an introductory letter explaining the study, including a rationale for selecting the sample (Appendix H),
- (2) directions for responding to the instrument,
- (3) a respondent data questionnaire designed to collect general demographic information and specific information related to the superintendent's experience in working with SIP and information about the implementation of SIP design components,
- (4) a copy of the Survey of Superintendent Behaviors, and
- (5) a stamped, pre-addressed return envelope.

After materials were sent to superintendents in the sample, the researcher allowed three weeks for return of surveys. A second letter and survey were mailed to those superintendents who had not responded. A copy of the second letter to superintendents is found in Appendix I. Two weeks after the second mailing, a phone call was made to each non-respondent asking them to return the survey as

soon as possible. Thirty surveys were returned within seven weeks of the initial mailing to the sample of 35 superintendents. The completed surveys were returned to the researcher to ensure confidentiality. Of the 30 superintendents who returned the surveys, five superintendents were selected to be interviewed. The interview was designed to discover why the superintendents considered specific behaviors more important than others. Another purpose was to identify other behaviors superintendents believed were important for supporting school-based change that had not been noted in the literature and included in the survey instrument.

The selection of interviewees was based on each superintendent's profile of behaviors. Ratings for each of the 33 behaviors for each superintendent were examined for their match with the modal ratings recorded by all 30 superintendents on each of the behaviors. Based on the actual matches of the superintendents' rating to the modal rating, the number of matches ranged from 6 to 28. Five superintendents whose responses matched the modal response of the total group of respondents on at least 23 of the items were randomly selected to be interviewed. The total number of superintendents with a match on at least 23 of the behaviors was 11.

A letter was sent to each of the randomly selected superintendents requesting them to participate in a phone interview (Appendix J). The superintendents were informed that telephone interviews would be for the purpose of finding out more about why the superintendents who had responded to the survey had ranked certain behaviors more important in their work. A follow-up telephone call was made one week after the mailing of the letter. The purpose of the follow-up phone call was to arrange for an appointment to hold the interview and, if possible, to do the interview at the time of the first call.

Phone interviews were completed with superintendents according to a predetermined interview protocol. Questions were designed to elicit background for the most important behaviors. Interview questions were developed in advance from the findings of the superintendents' response to the Survey of Superintendents' Behavior. The interview protocol and questions are in Appendix K. Semi-structured interviews were scheduled and conducted based upon guidelines found in the research on effective data collection for the interview process. It was understood that questions, while not attributed to a specific theory about role behavior, would provide deeper understanding of why superintendents perceived specific behaviors in this instrument most important for supporting school-based change (Glesne and Peshkin, 1992). Open-ended interview questions were developed to gain information about why the superintendents gave items specific importance ratings. This was done as an additional information gathering technique. It was considered useful for obtaining information to understand reasons for behaviors which superintendents believed were most important for supporting school-based change.

Data Analysis

Both quantitative and qualitative data were collected and analyzed to answer the research questions for this study. Quantitative methods were used to analyze the demographic data and determine which of the superintendent behaviors were most and least important in working with board members, stakeholders, and central office administrators to support school-based change (research question 1). Qualitative methods were employed when analyzing responses from the follow-up telephone interviews and from the open-ended question related to the additional behaviors that were important in working with these three role groups (research questions 2 and 3).

Quantitative Analysis

In analyzing the demographic data and responses to the 33 behaviors in the Survey of Superintendent Behaviors, descriptive statistics of means, standard deviations, frequencies and percentages were used to examine the data. Frequencies and percentages were used when reporting the demographic data. To determine which superintendent behaviors were considered important when working with the three role groups to support school-based change, the means for each of the 33 behaviors were considered. Those with means of 4.0 or above were identified as important. Those with means of 2.0 or below were considered unimportant. The most important behaviors were determined by examining the combined percentages of responses for the "very important" and "important" options. The combined percentages of "not very important" and "not important at all" were used to determine the least important behaviors.

Qualitative Analysis

In analyzing the follow-up interviews with five superintendents, the procedures used were based upon the recommendations of Glesne and Peshkin (1992) and Bogdan and Biklen (1982). Responses to open-ended questions were examined for common themes and notes were made for the purpose of arriving at a rationale which reflected the similar opinions of the group.

The analysis of the responses to an open-ended question which requested the respondents to identify additional behaviors important in working with board members, stakeholders, and central office administrators that had not been presented in the SSB included the following steps. First, all responses were listed and then each was analyzed to determine whether it, in fact, represented a behavior not already considered in the instrument. If a behavior was judged to repeat a behavior already considered, it was not considered to be a new behavior. The

remaining behaviors were then classified by whether they applied to the superintendent's work with board members, stakeholders, and central office administrators. Once classified, the items for each group were further analyzed to determine whether two or more represented a single behavior. The result of this analysis was a list of new important superintendent behaviors for supporting school-based change that had not been noted in the literature available at the time of this study.

Summary

This chapter presented the design and procedures for this study. It included a description of /I/D/E/A/ School Improvement Process training which was the school-based change program that the members of the population were using in their school districts. The chapter described the process for selecting superintendents who participated in the study, the development of the Survey of Superintendent Behaviors instrument, the methods for collecting data, the follow-up telephone interview process, and the data analysis. The next chapter will present the findings of the study.

CHAPTER FOUR

FINDINGS OF THE STUDY

This chapter presents the findings of this study. The major purpose of this study was to provide initial inquiry into the role of the superintendent when supporting school-based change. The study identified most and least important superintendent role behaviors with board of education members, school stakeholders, and central office staff. The analysis was based upon three research questions, which were:

Specific Research Questions:

1. What behaviors reported in the literature do superintendents involved in the /I/D/E/A/ School Improvement Process believe are most and least important to use with board of education members, school stakeholders, and central office staff when supporting school-based change?
2. What reasons do superintendents involved in the /I/D/E/A/ School Improvement Process give for identifying the most important role behaviors for supporting school-based change?
3. What role behaviors do superintendents involved in the /I/D/E/A/ School Improvement Process identify as important for supporting school-based change which were not included in the literature?

Thirty-five superintendents were identified for this study by program directors at the Institute for Development of Educational Activities (/I/D/E/A/). This population received the Survey of Superintendent Behaviors (SSB) in October, 1995. Over a period of three months, 30 of the 35 superintendents completed and returned the survey which was developed for this study based upon the review of the literature in Chapter 2. Since one of the superintendents was recently deceased,

the total number of superintendents in the population was reduced, thus 30 of 34 superintendents (88%) of those surveyed returned completed, usable questionnaires.

Findings

Data from this instrument are reported in four sections. The first section includes demographic information about the superintendents and districts that participated in the study. It provides information about the number of years the respondents had served as a superintendent and experience they had working with the /I/D/E/A/ School Improvement Process (SIP). Also included in the section is a discussion of the extent to which these superintendents had participated in training for the /I/D/E/A/ School Improvement Process. Data regarding the superintendent's level of engagement in SIP activities, and information about superintendent and school district support of school-based change are also presented. Information about the school districts served by these superintendents includes student population size, total number of schools, number of elementary, junior high/middle and high schools and whether the district was in an urban, suburban, or rural community.

The implementation of the School Improvement Process components in the school districts served by the responding superintendents is also described. These data include information about the number of schools who had trained facilitator teams in the /I/D/E/A/ SIP, the membership of school planning teams, and the implementation of specific components of SIP.

The second section of this chapter provides a discussion of superintendent behaviors considered important for supporting school-based change. Data reported

in this section were obtained from the responses of superintendents on the Survey of Superintendent Behaviors. Superintendent behaviors considered important for supporting school-based change were organized in three categories: superintendent behaviors with the board of education, superintendent behaviors with the school stakeholders, and superintendent behaviors with central office administrators. Means, standard deviations, frequencies, and percents were calculated for each behavior, indicating the degree to which each was considered important. The response options included: 5, very important; 4, important; 3, neither important nor unimportant; 2, not very important; 1, not important at all.

The third section of the chapter discusses the analysis of telephone interviews with five superintendents randomly selected from the group of respondents whose survey responses most closely matched the modal responses for each item for all 30 respondents. This resulted in the five superintendents being representative of the population. The purpose of these interviews was to clarify why these five believed the 30 respondents to the SSB had indicated certain behaviors were more important than others. The final section of the chapter discusses behaviors identified by the superintendents when asked to list behaviors they believed were important but which had not been included in the Survey of Superintendent Behaviors.

Demographic Information

Superintendents in this study provided data about themselves, their districts, and about the degree to which the systematic change program components included in SIP were being implemented in the school districts where they were or had been implementing the /I/D/E/A/ School Improvement Process. The reader is

reminded that retired superintendents and those no longer in the district for which they were reporting were considered knowledgeable about what was necessary for superintendents to do in supporting school-based change and were invited to report on their experience in the district where they had recently served and used the SIP change process.

In reviewing Table 4, Appendix L concerning the level of superintendent experience, the data revealed that 18 of the 30 superintendents (60%) had under 10 year's experience in the role. Of those eighteen, 10 (33%) had under 5 year's experience and 8 superintendents (27%) had 6 to 10 year's experience. Six (20%) of the superintendents reported having experience in the 11 to 15 year range, while 5 superintendents (17%) indicated their number of year's experience from 16 to 20 years. Only 1 superintendent reported more than 20 year's experience.

The superintendent population also furnished information regarding their length of experience utilizing the /I/D/E/A/ SIP in schools where they were superintendent and the level of SIP facilitator training he or she personally experienced (Table 5, Appendix L). Nineteen (63%) of the superintendents indicated they had five or fewer year's experience with /I/D/E/A/ SIP, while seven (23%) of them reported having from 6 to 10 years of experience with this process. Of the group, only 4 (14%) had experience between 11 and 15 years. No one reported having program experience beyond 15 years, a reliable response since /I/D/E/A/ began program training in the School Improvement Process exactly 15 years prior to the distribution of the survey for this study.

Table 6, Appendix L indicates the degree of facilitator training superintendents had in the /I/D/E/A/ SIP. Twenty-five superintendents (83%)

participated in the first of the two, five-day training sessions to prepare local facilitators for SIP. However, only 13 of the 25 superintendents (40%) who participated in the first week of training returned for the second, five-day training program. Five superintendents in the population (17%) reported that they had not attended any training program to prepare to facilitate the School Improvement Process.

The level of superintendent involvement in school-based change programs in their districts was determined by asking them about their attendance at school-based planning meetings; whether they met with school planning team leaders to learn of the progress and needs for implementing school change programs; if superintendents invited planning team leaders to share their experiences with the board of education members at board meetings; and, whether superintendents believed they were knowledgeable about various school improvement efforts in their schools and could report information about them.

Superintendents in this study responded on these four items about their level of involvement in the work of school planning teams (Table 7, Appendix L). Twenty-three (77%) indicated that they did attend planning team meetings. Twenty-four (80%) reported that they held meetings with team leaders, while 21 superintendents (70%) invited team leaders to board of education meetings to report experiences, and all of the superintendents (100%) reported they were knowledgeable and capable of reporting information about school-based change programs that resulted from work with SIP.

In reviewing how superintendents believed others in their district perceived his or her level of support for school-based change leaders, 25 (83%) reported that

others believed they were "very supportive." Only five superintendents (17%) indicated that others in the district would perceive them as only "supportive." No superintendent believed that others would perceive they were "not supportive" (Table 8, Appendix L).

Superintendents were asked to rate school district commitment to school-based change by indicating support as "very committed," "committed," or "uncommitted" (Table 9, Appendix L). Twenty-two (73%) reported that their districts were "very committed," and seven superintendents (23%) reported their district as "committed." One superintendent (3%) indicated that his/her district was "uncommitted" to school-based change.

In responding to questions about the size of their school district, superintendents reported being from districts ranging from 2,500 students to districts with 25,000 students. Seven superintendents (23%) were in districts with enrollment under 5,000. Seven superintendents (23%) represented the next largest districts with enrollment between 5,001 and 7,500. Six superintendents (20%) were from districts with enrollment between 7,501 and 10,000 students. Seven (23%) other superintendents reported district size at 10,0001 but not exceeding 15,000 students. Three superintendents (10%) represented districts ranging from 15,001 students but under 25,000 students (Table 10, Appendix M).

The number of schools in the districts where superintendents had been working to implement school-based change ranged from 3 to more than 50. Fifteen (50%) of superintendents represented school districts with 10 or fewer schools. Nine superintendents (31%) represented a district with between 11 and 20 schools. Four superintendents (13%) represented districts with between 21 and 35

schools. One superintendent (3%) was in a district with 36 to 50 schools, and another superintendent (3%) was employed in a district with more than 50 schools (Table 11, Appendix M).

The superintendents in the study represented school districts with a combined total of 519 schools. Of those, 335 elementary schools, 103 junior high/middle schools, and 81 high schools were represented (Table 12, Appendix M). Superintendents were asked to identify whether their school district community was urban, suburban, or rural. Five superintendents (17%) reported their districts as urban, 21 (70%) reported being from suburban communities and 4 (13%) of the superintendents described their districts as rural (Table 13, Appendix M). Regarding the implementation of the /I/D/E/A/ SIP program components, 319 (61%) of the 519 schools in districts represented in this study were reported as having team members trained as facilitators in the /I/D/E/A/ SIP (Table 14, Appendix N).

According to the superintendents, the membership on school planning teams included parents, teachers, principals, community members, students, and other school and central office administrators. Table 15, Appendix N indicates that 29 (97%) of the school districts included parents on school planning teams. All of the school districts included teachers and principals on the school planning teams. Twenty-two (73%) reported the inclusion of both community members and other school administrators on school planning teams. Twenty-one (70%) included students and 26 (86%) reported having central office administrators on school teams.

Finally, superintendents were asked to indicate which of the SIP components were being implemented in the 319 schools with trained SIP

facilitators (Table 16, Appendix N). These data were collected to determine whether the SIP change components were actually being implemented in the districts served by the 30 respondents. The responses indicated that 296 (93%) of the schools had developed a school vision, 302 schools (95%) had established school improvement goals and 292 (91%) had implementation designs for new programs. Two hundred seventy-six (87%) of the schools had completed training for the implementation of new programs. Program monitoring was employed in 274 schools (86%). Two hundred forty-six schools (77%) had recycled the School Improvement Process and were continuing their school-based change efforts. Clearly, the components of SIP were being implemented in most of the schools located in the districts identified by /I/D/E/A/ and served by superintendents providing data for this study.

Superintendent Role Behaviors

Superintendent Behaviors with the Board of Education

The first research question for this study focused on the behaviors superintendents believed were important when supporting school-based change in their districts. This section reports the findings related to question one:

What behaviors reported in the literature do superintendents involved in the /I/D/E/A/ School Improvement Process believe are most and least important to use with board of education members, school stakeholders, and central office administrators when supporting school-based change?

The data reported here are based upon the responses of the 30 superintendents who completed the Survey of Superintendent Behaviors questionnaire. These superintendents who were or had been employed by districts implementing the /I/D/E/A/ School Improvement Process were asked to indicate the

importance of 33 behaviors when implementing school-based change in their districts. Eight of these behaviors were related to working with school board members, 17 with school stakeholders, and 8 with central office administrators. When reporting the importance of these behaviors, the superintendents indicated whether the behavior was 5, very important; 4, important; 3, neither important nor unimportant; 2, not very important; or 1, not important at all. For each of the items the means, standard deviations, frequencies, and percents were determined.

In reporting the data related to superintendent behaviors with each of the three role groups, the researcher used the mean scores to determine those behaviors which were considered important and not important. A mean of 4.0 or above was used to identify important behaviors. A mean of 2.0 or below was used to identify behaviors that were not important. The combined percentages for 5, very important, and 4, important, responses were used to determine which behaviors were most important. The combined percentages for 2, not very important; and 1, not important at all; were used to determine the least important behaviors.

Behaviors Related to Working with Board Members

The first area to be examined is the group of eight behaviors reported in the literature as important for supporting school-based change when working with the board of education. These behaviors focus on issues related to organizational structure, decision making, acceptance of school differences, district policy, recognition of successful change, training, and involvement of board members. The specific superintendent behaviors with the board of education identified in the SSB questionnaire based on the literature review included:

1. Create an organizational structure which promotes school-based planning and authority.

2. Develop parameters for school-based decisions which promote school change.
3. Clarify the extent to which they are comfortable with schools becoming different due to individual school-based change programs.
4. Review and, when appropriate, revise district policies for the purpose of supporting school-based change.
5. Seek support for requesting waivers to state rules and regulations when needed to facilitate school-based change.
6. Support school change participants by recognizing their achievements at Board of Education meetings.
7. Provide board members with ongoing training in the practices of systematic change processes for schools.
8. Provide opportunities for Board of Education members to participate on planning teams for school-based change.

Table 1 displays data pertaining to the responses of superintendents on the importance of these eight behaviors in working with the board of education when implementing school-based change. To identify the behaviors which superintendents believed were most important, the researcher reviewed the frequency and percentage of respondents that indicated each behavior was "very important" or "important." Those items that had a combined response for these two options of 90% or above were identified as the most important behaviors when working with board members. Four behaviors were identified by the superintendents as the most important to use when working with school board members to support school-based change. The four were: 1) create an organizational structure that would promote school-based planning and authority; 2) develop parameters for school-based decisions which promote school change; 3) clarify the extent to which board members are comfortable with schools becoming different due to individual school-based change programs; and 4) review and, when appropriate, revise district policies for the purpose of supporting school-based change.

Table 1
Importance of Superintendent Behaviors with the Board of Education

			Degree of Importance										Table 1
			Very Import. (5)		Import. (4)		Neither Import./ Unimp. (3)		Not Very Import. (2)		Not Import. at All (1)		
Behavior	Mean	sd	f	%	f	%	f	%	f	%	f	%	
1. Create an organizational structure which promotes school-based planning and authority.	4.4	.77	16	53	11	37	2	7	1	3	0	0	
2. Develop parameters for school-based decisions which promote school change.	4.4	.77	16	53	11	37	2	7	1	3	0	0	
3. Clarify the extent to which they are comfortable with schools becoming different due to individual school-based change programs.	4.4	.77	15	50	12	40	2	7	1	3	0	0	
4. Review and, when appropriate revise district policies for the purpose of supporting school-based change.	4.4	.67	14	47	13	43	3	10	0	0	0	0	

(table continues)

Importance of Superintendent Behaviors with the Board of Education

			Degree of Importance									
			Very Import. (5)		Import. (4)		Neither Import./Unimp. (3)		Not Very Import. (2)		Not Import. at All (1)	
Behavior	Mean	sd	f	%	f	%	f	%	f	%	f	%
5. Seek support for requesting waivers to state rules and regulations when needed to facilitate school-based change.	4.3	.84	17	57	6	20	7	23	0	0	0	0
6. Support school change participants by recognizing their achievements at Board of Education meetings.	4.2	.72	12	40	13	43	5	17	0	0	0	0
7. Provide Board members with ongoing training in the practices of systematic change processes for schools.	4.1	.84	10	33	15	50	3	10	2	7	0	0
8. Provide opportunities for Board of Education members to participate on planning teams for school-based change.	3.3	1.46	8	27	7	23	5	17	5	17	5	17

Table 1 (cont'd)

A fifth behavior with a mean score of 4.3 was selected by 57% of the superintendents as "very important." However, only 20% indicated that it was an "important" behavior. Consequently, the behavior, to seek waivers to state rules and regulations to support school-based change, while considered by the largest proportion of superintendents as "very important," was not identified as one of the most important behaviors in working with board members.

The remaining behaviors in this section were considered important by superintendents in working with the board of education. All but one recorded a mean score in the 4.1 to 4.3 range. The least important behavior reported by superintendents was to provide opportunities for board members to participate on school planning teams. Thirty-four percent of the superintendents indicated that the behavior was "not very important" or "not important at all;" another 17% indicated it was neither important nor unimportant.

An analysis of data reporting the level of importance of superintendents' work with the board of education to support school-based change clearly indicates that superintendents believe all of the behaviors but one were important. Four behaviors were determined most important in working with the board of education and were focused on issues related to organizational structure, decision making parameters, board tolerance for school differences, and revising policies to support school-based change.

Superintendent Behaviors with School Stakeholders

The next collection of behaviors to be examined were those related to the superintendent's support of school-based change through working with school stakeholders. Stakeholders, as identified earlier in this study, included teachers, parents, principals, community members, central office staff selected to join

planning teams, other school administrators, and students who had a vested interest in the quality and effectiveness in a school. School stakeholders were those included on school planning teams organized for the purpose of leading school-based change.

Seventeen superintendent behaviors were included in the stakeholder section on the SSB. The role of the superintendent was reflected in behaviors that focused on resources, school and district level decisions, district priorities, staff development, monitoring progress, recognition, and support. The superintendent behaviors with school stakeholders include:

9. Provide staff development resources to support school-based change goals.
10. Involve principals in district-wide decisions which influence school-level decision making.
11. Achieve direct communication between principals and the superintendent.
12. Encourage long-range planning over quick-fix solutions as a way of solving school district problems.
13. Inform all school stakeholders about the district's values and priorities concerning school-based change.
14. Visit schools to gain information about progress toward achieving school-based change goals.
15. Monitor progress of school change efforts.
16. Demonstrate commitment to school-based change by aligning central office staff support with schools' needs.
17. Provide opportunities for schools to be self-directed in implementing programs to achieve school-based change goals.
18. Grant decision making authority to school leaders engaged in school-based change efforts.
19. Involve leaders of the teachers' organization in decisions which influence school-level decision making.
20. Support school improvement program participants by recognizing their achievements.

21. Work with community members to build support for school-based change programs.
22. Recognize individuals involved in school-based change efforts even when their efforts fail to meet anticipated outcomes.
23. Be directly involved with monitoring school-based change programs.
24. Be directly involved with planning school-based change programs.
25. Be directly involved with implementing school-based change programs.

Table 2 reflects the responses of superintendents on 17 behaviors reported in the literature as important when working with school stakeholders for the purpose of supporting school-based change. Data from this section of superintendent behaviors with stakeholders were again analyzed by using means, standard deviations, frequencies, and percentages. Important behaviors were those with mean scores between 4.0 and 5. Fourteen of the seventeen behaviors achieved a mean between 4.2 and 4.8. Behaviors rated 2.0 and below were determined to be unimportant. Of the remaining behaviors, three were determined to be neutral while none was unimportant. These neutral behaviors were identified in the survey as the direct involvement of the superintendent in planning school-based change, implementing school-based change, and monitoring school-based change programs.

Since most of the behaviors with school stakeholders were rated either "very important" or "important" by the superintendents, those which all respondents indicated were either "very important" or "important" were identified as the most important in working with school stakeholders. One additional behavior was included which did not meet this criteria. However, 83% of the respondents indicated it was "very important." Therefore, it was added to the group of most important behaviors in this section.

Table 2
Importance of Superintendent Behaviors with School Stakeholders

Behavior	Mean	sd	Degree of Importance									
			Very Import. (5)		Import. (4)		Neither Import./Unimp. (3)		Not Very Import. (2)		Not Import. at All (1)	
			f	%	f	%	f	%	f	%	f	%
9. Provide staff development resources to support school-based change goals.	4.8	.49	25	83	4	13	1	3	0	0	0	0
10. Involve principals in district-wide decisions which influence school-level decision making.	4.8	.43	23	77	7	23	0	0	0	0	0	0
11. Achieve direct communication between principals and the superintendent.	4.8	.43	23	77	7	23	0	0	0	0	0	0
12. Encourage long-range planning over quick-fix solutions as a way of solving school district problems.	4.7	.48	20	67	10	33	0	0	0	0	0	0

(table continues)

Importance of Superintendent Behaviors with School Stakeholders

Table 2 cont'd

Behavior	Mean	sd	Degree of Importance									
			Very Import. (5)		Import. (4)		Neither Import./Unimp. (3)		Not Very Import. (2)		Not Import. at All (1)	
			f	%	f	%	f	%	f	%	f	%
13. Inform all school stakeholders about the district's values and priorities concerning school-based change.	4.6	.49	19	63	11	37	0	0	0	0	0	0
14. Visit schools to gain information about progress toward achieving school-based change goals.	4.6	.61	21	70	7	23	2	7	0	0	0	0
15. Monitor progress of school change efforts.	4.6	.50	18	60	12	40	0	0	0	0	0	0
16. Demonstrate commitment to school-based change by aligning central office staff support with schools' needs.	4.5	.58	17	57	12	40	1	3	0	0	0	0

(table continues)

Importance of Superintendent Behaviors with School Stakeholders

Table 2 cont'd

			Degree of Importance											
			Very Import. (5)		Import. (4)		Neither Import./Unimp. (3)		Not Very Import. (2)		Not Import. at All (1)			
Behavior	Mean	sd	f	%	f	%	f	%	f	%	f	%		
17. Provide opportunities for schools to be self-directed in implementing programs to achieve school-based change goals.	4.5	.58	16	53	13	43	1	3	0	0	0	0		
59 18. Grant decision making authority to school leaders engaged in school-based change efforts.	4.5	.63	17	57	11	37	2	7	0	0	0	0		
19. Involve leaders of the teachers' organization in decisions which influence school-level decision making.	4.4	.86	17	57	11	37	1	3	1	3	0	0		
20. Support school improvement program participants by recognizing their achievements.	4.4	.67	15	50	12	40	3	10	0	0	0	0		

(table continues)

Importance of Superintendent Behaviors with School Stakeholders

Table 2 cont'd

Behavior	Mean	sd	Degree of Importance									
			Very Import. (5)		Import. (4)		Neither Import./Unimp. (3)		Not Very Import. (2)		Not Import. at All (1)	
			f	%	f	%	f	%	f	%	f	%
21. Work with community members to build support for school-based change programs.	4.3	.61	12	40	16	53	2	7	0	0	0	0
22. Recognize individuals involved in school-based change efforts even when their efforts fail to meet anticipated outcomes.	4.2	.77	11	37	15	50	3	10	1	3	0	0
23. Be directly involved with monitoring school-based change programs.	3.8	1.03	9	30	9	30	10	33	1	3	1	3
24. Be directly involved with planning school-based change programs.	2.9	1.24	4	13	4	13	12	40	5	17	5	17
25. Be directly involved with implementing school-based change programs.	2.6	1.19	4	13	13	43	8	27	5	17	0	0

Six behaviors were determined to be most important for superintendents in working with school stakeholders to support school-based change. The first of these behaviors was to: 9) provide staff development resources to support school-based change goals. This behavior received the highest percentage of very important responses. The other five behaviors included: 10) involving principals in district wide decisions that influenced school-level decision making; 11) achieving direct communication between principals and the superintendent; 12) encouraging school district problem solving through long-range planning over quick-fix solutions as a way of solving school district problems; 13) informing all school stakeholders about the district's values and priorities concerning school-based change; and, 15) monitoring progress of school change efforts. Of the remaining behaviors eight had mean scores of 4.0 or above, indicating that superintendents perceived these behaviors as important in working with stakeholders. As noted earlier, three remaining behaviors had means below 4.0 and above 2.0, indicating they were the least important but not considered unimportant by the superintendents.

In summarizing the data about the most important superintendent role behaviors with school stakeholders, it was determined that 14 of the 17 were considered important. Six behaviors were identified as most important. These behaviors focused on issues of support by the superintendent which included providing resources, including principals in district decision making, communicating directly with principals, demonstrating the school district's commitment to school-based change, communicating the school district's values and priorities for school-based change, and monitoring. Those that were least important were concerned with the superintendent's direct involvement in planning,

implementing, and monitoring school-based change programs at the school site level.

Superintendent Behaviors with Central Office Staff

The last area to be examined is the group of eight superintendent behaviors reported in the literature for supporting school-based change when working with central office staff. The behaviors in this section indicated the importance of the superintendent to model, communicate, support, and provide staff development when working with central office staff. The specific behaviors identified in the SSB questionnaire related to the superintendent's role in working with central office staff to support school-based change include:

26. Model shared decision making for Central Office staff.
27. Communicate to Central Office staff the district's values and priorities about school-based change.
28. Demonstrate commitment to school-based change efforts by discussing related issues at district-level meetings.
29. Align district-level human and fiscal resources with school-based change efforts.
30. Provide staff development resources for Central Office staff related to supporting school-based change efforts.
31. Recognize Central Office staff efforts related to school-based change.
32. Monitor Central Office involvement in school-based change efforts.
33. Recognize Central Office staff efforts in school-based change even when such efforts fail to meet anticipated outcomes.

Table 3 displays data pertaining to the responses of superintendents concerning the importance of these eight behaviors included in the Superintendent Behaviors questionnaire. A review of mean scores from each item revealed that all of the eight behaviors related to working with central office administrators were at the important level with means of 4.0 or above. A combined response on the "very

Table 3
Importance of Superintendent Behaviors with Central Office Staff

Behavior	Mean	sd	Degree of Importance									
			Very Import. (5)		Import. (4)		Neither Import./Unimp. (3)		Not Very Import. (2)		Not Import. at All (1)	
			f	%	f	%	f	%	f	%	f	%
26. Model shared decision making for Central Office staff.	4.7	.55	21	70	8	27	1	3	0	0	0	0
27. Communicate to Central Office staff the district's values and priorities about school-based change.	4.6	.50	18	60	12	40	0	0	0	0	0	0
28. Demonstrate commitment to school-based change efforts by discussing related issues at district-level meetings.	4.6	.68	19	63	10	33	1	3	0	0	0	0
29. Align district-level human and fiscal resources with school-based change efforts.	4.5	.51	16	53	14	47	0	0	0	0	0	0

(table continues)

Importance of Superintendent Behaviors with Central Office Staff

Table 3 cont'd

Behavior	Mean	sd	Degree of Importance									
			Very Import. (5)		Import. (4)		Neither Import./Unimp. (3)		Not Very Import. (2)		Not Import. at All (1)	
			f	%	f	%	f	%	f	%	f	%
30. Provide staff development resources for Central Office staff related to supporting school-based change efforts.	4.5	.63	17	57	11	37	2	7	0	0	0	0
31. Recognize Central Office staff efforts related to school-based change.	4.3	.66	13	43	14	47	3	10	0	0	0	0
32. Monitor Central Office involvement in school-based change efforts.	4.1	.65	8	27	20	67	1	3	1	3	0	0
33. Recognize Central Office staff efforts in school-based change even when such efforts fail to meet anticipated outcomes.	4.0	1.01	10	33	12	40	4	13	4	13	0	0

important" and "important" options for a behavior of at least 96% was established to determine the most important behaviors in this category.

In analyzing the responses for each of these behaviors, it was found that four behaviors had a combined percentage of at least 96%. These were considered the most important behaviors for working with central office administrators in supporting school-based change. The four behaviors included: 26) modeling shared decision making for central office administrators; 27) communicating to the central office staff the district's values and priorities about school-based change; 28) demonstrating commitment to school-based change efforts by discussing related issues at district-level meetings; and 29) aligning district-level human and fiscal resources with school-based change efforts.

In examining the responses by superintendents about behaviors with central office administrators, the data revealed that all eight superintendent behaviors with central office administrators were considered important with a mean of 4.0 and above. Four behaviors, however, emerged as the most important. These focused on the need for the superintendent to communicate district priorities, demonstrate commitment, align resources, and model shared decision making in working with central office administrators.

Follow-up Phone Interviews with Superintendents

The second question for this study addressed the need to understand why superintendents selected some of the behaviors as the most important for supporting school-based change. This section reports findings related to question two. What reasons do superintendents involved in the /I/D/E/A/ School Improvement Process give for identifying the most important role behaviors for supporting school-based change?

The data reported here are based on phone interviews with five of the 30 superintendents who completed the SSB. These five were selected by identifying superintendents whose responses most frequently matched the modal responses of all respondents for each item. This resulted in identifying superintendents who most represented the group. When the modal responses for each of the 33 behaviors were compared with the responses of each of the superintendents, 11 superintendents were identified with a match on at least 23 of the 33 behaviors. Five superintendents were randomly selected from this group for telephone interviews.

Preparation for the follow-up phone interviews included analyzing the responses to the 33 superintendent behaviors on the SSB to determine the most important superintendent behaviors for working with board of education members, school stakeholders, and central office administrators. These were the behaviors reported in the previous section.

A letter was mailed to the five superintendents which explained the purpose of the telephone interview and informed them that the researcher would be calling to establish a time for a phone interview, Appendix J. The letter explained how the superintendent was selected for the interview request, and the purpose for the phone interview. A list of the 33 behaviors in the SSB was included with the letter. These behaviors were ranked according to importance as determined by the responses of the superintendents who participated in this study. The superintendents were asked to review the list prior to the phone interview, to reflect on those behaviors considered "most important," and to be prepared to discuss why they believed the behaviors were considered most important by the group of 30 superintendents. All five of the superintendents participated in the follow-up interviews. Each interview lasted about 35 to 45 minutes. All of the

superintendents agreed to have their interview tape recorded for later transcription and analysis. The questions established for these interviews are found in Appendix K.

When each superintendent was contacted at the time of the interview appointment, two were unable to participate. A second appointment was made, and in each case, the superintendent was able to complete the interview at that time. The interview began with a greeting, and an inquiry as to whether the superintendent had received the letter and list of behaviors resulting from the SSB. In each case the superintendent had received the materials and was prepared to participate in the follow-up interview. The interviewee was informed that the interview would last approximately 30 to 40 minutes and that questions were formulated to discover the reasons why the responding superintendents believed these behaviors were most important.

The interviews were designed to validate and clarify the most important behaviors identified by the 30 superintendents in their responses to the SSB. The interpretive tradition includes the use of interviews in conjunction with data from other documents (Schuman, 1970). Thirteen behaviors were determined as most important by the superintendents in this study. A question was developed for each of these behaviors in order to provide a deeper understanding for why they were considered most important. Additional questions were asked as the interview proceeded for the purpose of probing or adding information based on the reality of the respondent and the descriptions given from each of the respondent's experience (Glesne & Peshkin, 1992).

The data from the telephone interviews with the five superintendents was analyzed by identifying themes from the repeated phrases and examples that each

superintendent provided. These notes were then used to analyze the combined responses which the superintendents provided to substantiate their answers. This analysis provided further data and contributed to understanding the reasons given for the groups' selection of 13 behaviors considered most important when working with school stakeholders, board members, and central office administrators (Bogdan & Biklen, 1982).

Reasons for Most Important Behaviors with the Board of Education

This portion of the analysis of telephone interviews with five superintendents provides their responses to questions about superintendent behaviors that emerged as most important for supporting school-based change when working with school board members. When asked why it was important to work with the board of education to create an organizational structure which promotes school-based change, planning, and authority (item 1), they indicated that this was necessary in order to provide organizational support to stimulate second order change in schools. They reported that their belief in systemic change could only be achieved through allowing schools to be self-directed. Therefore, they realized the imperative for having an organizational structure which not only allowed, but promoted a level of school autonomy supported by the board of education. In addition, superintendents highlighted the importance of organizational direction resulting from a clear and purposeful structure for decision making.

The interviewees spoke of structure as the way in which the superintendent related to the board, the relationship of the board to school planning teams, and the relationship of the central office to the school planning teams, particularly in the area of decision making. In one superintendent's words,

"It's more about bottom-up and top-down coming together and allowing schools to work within the structure already provided through negotiated agreements, board policies, and available resources."

The need for the superintendent to work with board of education members to develop parameters for school-based decisions which promote school-based change (item 2) was considered most important because of the necessity to increase the flow of creative ideas among school planning team members, and decrease the potential for organizational confusion around decision making and various school-based change initiatives. To quote one superintendent, "...school boards are notorious for torpedoing projects they don't understand." Superintendents agreed that, without parameters, schools, central office administrators, and the board of education would at best be unclear about expectations for decision making at the school level, and at worst, suffer from competing expectations and organizational confusion over anticipated goals and outcomes.

The need for superintendents to work with the board of education to develop parameters for decision making was considered important because it provided direction for the district and conditional freedom for school planning teams to make decisions. One superintendent reported that decision parameters must be legal, ethical, and moral. In his district, these parameters were in print among the official documents of the district.

When asked to explain why it was considered most important for the superintendent to work with the board of education to clarify the extent to which they were comfortable with schools becoming different due to individual school-based change programs (item 3), they suggested that this was an outcome of school site decision making and, unless understood by board members, the whole idea of school site decision making could be hampered. They felt it was critical for board

members to understand that schools would become different as school planning teams used their authority to develop programs to meet the needs of students.

"It is important for a board member to know how to answer the parent in the supermarket who wants to know why Susie Jones at School A gets to participate in foreign language learning activities in the fifth grade and her child does not have the same opportunity at School B."

Superintendents agreed that one way to help boards deal with such dilemmas was to talk problems through with others.

"I gave my board members a chance to talk with other school board members who were involved in site-based management and decentralization. In this way they shared ideas, concerns, and solutions, and then we piggy-backed on these meetings when we got the chance to be together at the National School Boards Association Conventions."

Other superintendents addressed issues related to program differences resulting from school-based change programs by encouraging board members to be members of school planning teams. The importance of board members' tolerance for variation in school offerings and the way schools did business suggested to three of the superintendents that it was important to include board members on school planning teams. Overall, the five superintendents agreed that board members needed opportunities to learn how to relate and think about changes in their roles if school-based change was going to have a chance at succeeding.

The necessity to encourage the board of education to review and when appropriate revise district policies for the purpose of supporting school-based change (item 4) was considered by the superintendents to be a natural result of participative decision making at the school site by planning teams. Superintendents believed that board members should understand that such requests might be necessary in order to support the school's change efforts. They realized that it could be counterproductive to tell schools to change and also tell them that other

aspects of the organization must remain the same. One of the superintendents was enthusiastic in his comment about not putting too much emphasis on policies.

He responded,

"We went madly on. My policy was not to have any policies. Policies maintain an organization. They are the defense strategies for not changing. If you want an organization to change, get rid of policies or, at least, don't allow them to play an important role year after year, after year, without ever reviewing them to find out if they are constraining the ability of your folks to make schools different."

In summary, the five superintendents believed that the four behaviors were most important because they focused on the role of the superintendent to lead. In the context of school-based change, leadership to them meant listening, teaching, and interpreting the needs of schools in such a way that board members could use their roles to make decisions that would, in the end, enhance, rather than detract, from the work of school leaders attempting to improve programs for students which sometimes required change in the way the school district and board of education behaved.

Reasons for Most Important Behaviors with School Stakeholders

This portion of the analysis of telephone interviews with five superintendents focuses on the responses to questions about the superintendent behaviors that emerged as most important for supporting school-based change when working with school stakeholders. When superintendents spoke of their role with school stakeholders and the reasons for the five behaviors being most important, they focused on what they referred to as the obvious, even though in the beginning of their work in school district decentralization, they weren't obvious. Two superintendents started with, "As I think about it now. . ." and "Later, when I looked back, I realized. . ."

When responding to questions about the necessity to provide staff development to support school-based change goals (item 9), they indicated their belief in the value of school staff having influence and authority to make decisions about their own learning. It was important, they believed, to encourage the staff to view staff development needs in relationship to the changes they believed were important to initiate for their students. However, three superintendents insisted on the value of common training for school planning teams. Since the superintendents in this study were either trained as /I/D/E/A/ SIP facilitators or had trained facilitators working with planning teams, this could be expected. Superintendents agreed that the value of using a common planning process with common language was extremely important for schools to know and use. This provided a context, language, and techniques which could be commonly understood leading to deeper understanding and clearer communication within the school district.

When asked why it was most important to involve principals in district-wide decisions which influence school-level decision making (item 10), the superintendents revealed the value of walking the talk. If they expected principals to "buy in" to shared decision making with school planning teams, it was required that the superintendent model this with principals. To do less would compromise the integrity of the superintendent and ultimately contribute to failed efforts in school-based change. Words such as "disastrous," "political suicide," "stupid," and "plain wrong" were used to describe the anticipated result of ignoring principals in the process of making district wide decisions with impact on schools.

All of the interviewees responded similarly to a questions about the most important behavior of achieving direct communication between principals and the superintendent (item 11). They agreed that to do so reflected interest in the principals' work with school planning teams, and focused attention on the

principals' needs. All of the superintendents engaged principals in formal and informal conversations around topics related to the schools' planning teams efforts and the principals' needs for resources, information, and other kinds of assistance.

Two superintendents believed in the power of the superintendent as a staff developer and facilitator, and used their skills to train principals in the elements of consensus decision making and group process skills. This was their way of communicating directly with principals and modeling their beliefs about school-based change. All of the superintendents included school planning team involvement and school-based change efforts among the goal areas for evaluation of principals. To them the direct communication involved in the supervision of principals was the best method for showing commitment and support to the principals' work in leading school-based change.

Superintendent responses to the question about the most important superintendent behavior to encourage long-range planning over quick-fix solutions as a way of solving school district problems (item 12) resulted in comments and stories about failed efforts, multiple improvement agendas, and the effects of external forces on school district capacity to bring about real change. Superintendents essentially believed it was important in order to avoid the ultimate problem of staff cynicism from forcing "half-baked solutions on teachers and kids that don't work." Overall, however, the five superintendents interviewees reported frustration over unfunded state mandates that affected curriculum and assessment, and consumed the available time and resources needed to stick with the long range planning activity. They shared a common belief in the value of staying the course, because doing so "sends a message to people who invest their time in school leadership and change that says, 'What you are doing is important and this time we're going to stick with it, and modify as we go along, but we're not going to

quit.'" They believed this was the one best way of maintaining the commitment of the stakeholders.

Informing stakeholders about the district's values and priorities concerning school-based change (item 13) was considered by the superintendents to be "the stuff that leadership is made of." A wide variety of responses was provided about the most important behavior concerning the superintendent's need to inform all school stakeholders about the district's values and priorities concerning school-based change. All of the superintendents stated the importance of this behavior. While they believed in its importance and felt that they had internalized this behavior, they were not agreed on how to inform people about these values. One superintendent believed that he or she did this best by providing training, by leading through inquiry and presence, and by making decisions that reflected the school district's values. Others stated the importance of this behavior by describing the vehicles used for articulating their messages about values and priorities. They also spoke of the frustrations they felt when they perceived their efforts were insufficient to the task.

"It was the toughest job we had. We used newsletters, direct mail, phone calls, bulletins, pyramid groups, speeches--but it was never enough. I believe now that actual involvement of people in school planning teams was the best way of sending the message about what we believed. We actually trained 400 facilitators to lead planning teams during the twelve years of my leadership there."

Reasons for Most Important Superintendent Behaviors with Central Office Staff

The final portion of the report of the analysis of telephone interviews with five superintendents focused on their responses to questions about superintendent behaviors that emerged as most important for supporting school-based change when working with central office staff. The reader is reminded that all of the behaviors in the SSB related to central office were considered important by the

33 superintendents in this study. However, four of the behaviors emerged as most important.

The five superintendents interviewed indicated that the most important behavior to model shared decision making for central office administrators (item 26), was clearly a leadership requirement for the superintendent if he or she expected central office staff to demonstrate supportive consulting behaviors with school stakeholders, with school planning teams, and principals.

The superintendents' philosophy for facilitating successful shared decision making in the district was linked to appropriate actions by central office staff. This was particularly important because the superintendents viewed the central office staff as detractors or enhancers to systemic change through decentralized decision making. In addition, the superintendents felt this was important because of the teaching role which superintendents saw for themselves. The importance of modeling shared decision making had to do with teaching central office staff to depart from previous role requirements of controlling and directing to facilitating, helping, and supporting. Without such role modeling on the part of the superintendent, the interviewees believed that school-based change could easily be thwarted by those at the central office operating as blockers.

The importance of the superintendent behavior, of communicating to central office staff the district's values and priorities about school-based change (item 27), was similar to the reasons given for the same behavior with school stakeholders. The superintendents indicated that the importance of clarifying and articulating these values was to enhance the understanding among all in the school district that school-based change would be supported, that decisions emerging from school planning teams would be honored, and that resources would be found to support school-based decisions for program improvement. One superintendent said,

"Anyone in the district could tell you that the central office role is to enhance and support the activity at the school level. It is a philosophy that permeates our culture." Superintendents viewed the importance of articulating values around school-based change as an important cultural component for building trust, commitment, and ownership among stakeholders and all members in the district whose work, and meaning from such work, could be attached to the larger values and mission of the organization.

All of the superintendents who were interviewed agreed that it was important to demonstrate commitment to school-based change efforts by discussing related issues at district-level meetings (item 28). However, only two gave clear reasons for the importance of this behavior by relating examples from their own districts about how they managed this. In short, the rationale for its importance was related to the superintendent "walking the talk" regarding values and priorities in the school district. As one superintendent indicated,

"What we focus on gets done. If we don't focus on the issues, implications, and needs that principals and others share regarding their school-based change efforts, then it would appear that we do not really care about their work. Translated, it's not what I say, but what I do."

One of the superintendents was proud to say that he spent a good deal of meeting time with administrators and other stakeholders in the district, including the board of education, assuming the role of teacher. He trained others in the area of shared decision making and facilitated group planning processes. The superintendents agreed that it would be very important to spend some time at regular district meetings discussing the outcomes of school-based actions from planning teams, and providing opportunity to share what people were learning around the district about programs, decision making issues, and resources needed. This was considered effective for processing the changes going on in the district, to

learn about change in general, and to share new ideas and insights resulting from change activities.

The final most important behavior for the superintendent in working with central office staff was to align district-level human and fiscal resources with school-based change efforts (item 29). This was considered most important by the superintendents because it provided the support that was needed for schools to implement the program decisions they were encouraged to develop. Essentially, the superintendents believed it was critical to make certain that curriculum, maintenance, and business operations were not working at cross-purposes but were, in fact, helping to support the work going on at the school sites. It was also, they felt, a behavior which emerged from a shared commitment to support the work of schools. Another superintendent believed that the necessity for aligning human resources with the schools was for the purpose of supporting, but also building on relationships. Without solid relationships, he believed that the trust needed to create real change in schools and across the district would simply not emerge.

The alignment of fiscal and human resources also reflected the superintendents' belief in the necessity to do more than articulate the importance of school-based change, but to create structures, align roles, and provide resources necessary to support school-based change. In short, the alignment behavior emerged as authentic action for expressing values, commitment, and support for the improvement programs being led by school-based planning teams.

Additional Behaviors Reported by Superintendents

The final question for this study focused on determining whether there were superintendent behaviors considered important but not among those included in the SSB. The behaviors in the instrument were based on a systematic review of the literature on the role of the superintendent in supporting school-based change.

This section reports the findings related to question three: What role behaviors do superintendents involved in the /I/D/E/A/ School Improvement Process identify as important for supporting school-based change which were not included in the literature?

In an effort to determine whether there were behaviors other than those found in the current literature that were important for superintendents serving districts involved with implementing school-based change, the respondents to the SSB were asked to complete an open-ended question. This question asked the superintendents to identify behaviors which were important in working with board members, school stakeholders, and central office staff in supporting school-based change that had not been included in the behaviors in their questionnaire. This open-ended question followed immediately after the 33 behaviors presented in the SSB. This provided the respondents an opportunity to draw on their personal experiences to expand the current list of behaviors available through the literature and research on the support role of the superintendent in school district implementation of school-based change.

Seventeen superintendents submitted behaviors they believed were important and which, in their opinion, were not included among those in the survey. Twenty-five behaviors were submitted related to superintendents working with the board of education; 27 behaviors related to superintendents working with school stakeholders; and 16 superintendent behaviors related to working with central office staff. In all, 68 behaviors were submitted by 17 of the 30 superintendents in this study.

These responses to the open-ended question were first analyzed to determine which behaviors were the same as or similar to those already considered in the SSB and those which were not. If a behavior was judged to repeat a

behavior already considered in the instrument, it was determined that it would not be considered an additional behavior. Thirty-seven behaviors were determined to be repetitive of behaviors already considered in the survey. They are listed in Appendix O.

Superintendents submitted 31 separate behaviors which, when analyzed, were determined to be different from those included in the SSB. Twelve behaviors were related to superintendent work with board members; 14 behaviors were related to work with stakeholders; and 5 behaviors were related to work with central office staff. These 31 behaviors were further analyzed to determine whether two or more represented similar or identical content and could be represented as a single superintendent behavior when working with board members, school stakeholders, and/or central office staff to support school-based change. A list of the 31 behaviors submitted by superintendents and determined not to be already considered in the SSB are found in Appendix P.

The following section discusses the results of this analysis of the additional behaviors noted by the respondents as important for superintendents when working with board members, school stakeholders, and central office staff. Each section is organized in the following manner. Additional superintendent behaviors are discussed generally, according to those related to the board of education, school stakeholders, and central office staff. The behaviors are then restated at the end of the section.

Additional Superintendent Behaviors - Board of Education

Of the 12 additional behaviors selected for grouping related to superintendent behaviors with board members, five could be combined and restated as a need for the superintendent to attend to board members' continuous learning needs in the area of school-based change. This behavior included responses which

identified the importance of holding retreats for members of the school board in districts where school-based change was being implemented; holding dialogue sessions for board members when school-based change could be discussed; implementing vertical teams to provide board members with opportunities to talk with others in the school district about change issues and for recognizing individual as well as institutional aspects of growth; applying process skills used in the /I/D/E/A/ SIP with board members; and, orienting new board members in the school-based change concepts.

Three additional behaviors reported by superintendents were related to the need for the superintendent to model the desired attributes of active listening, patience, and sharing new knowledge.

The remaining four behaviors in the group of additional behaviors were not related to others. The superintendents who submitted additional behaviors that were important in working with board members believed it was important to be a friendly critic as well as a cheerleader for schools; to recruit potential board of education candidates who are knowledgeable about school-based change; to encourage the board of education to focus on student results; and, to inform the board of education about school-based change activities.

Additional Superintendent Behavior - School Stakeholders

Of the 14 additional behaviors reported by the superintendents related to school stakeholders, four were related to the superintendent being conscientious about involving key people in school-based change. The responses related to this behavior identified the importance of maintaining direct communication with the president of the teachers' organization; involving heads of all employee groups in district decisions using shared decision making; and, selecting citizens from a variety of community sectors to serve on school planning teams, including those

from business and taxpayers without students in schools.

Six additional items were related to the superintendent expressing clear expectations about the purpose for school-based change. This behavior was identified based upon responses which indicated the need for superintendents to encourage school stakeholders to focus on student and program outcomes, to establish outcomes in the area of student academic achievement, to be up-front with stakeholders regarding expectations about data collection and measurement results, to educate stakeholders about differences between school reform and "back-to-basics," and to engage stakeholders in annual meetings where progress is reported and goals for the future are set.

Four behaviors were unrelated and were listed individually. These included the importance of the superintendents to encourage the school stakeholders to seek recognition through the pursuit of competitive awards; to be visible and passionate about school-based change; to redefine the parameters for school-based change with changes in the environment; and, to play an active role in staff development related to school improvement and change.

Additional Superintendent Behaviors - Central Office Staff

Five additional superintendent behaviors with central office staff were determined important for supporting school-based change. Four items focused on a view of some central office staff as unsupportive of school-based change. These were related to the need for the superintendent to clearly define the support role of the central office. One item suggested the need for the superintendent to model the leadership attributes of a life-long learner, active listener, and effective problem solver.

In summarizing the additional behaviors contributed by the superintendents in this study, it was determined that in each subset of behaviors with board

members, school stakeholders, and central office staff, some items could be grouped and defined as a single superintendent behavior. Others were determined to be independent behaviors. In all, 14 additional behaviors resulted from the analysis of those submitted by superintendents who considered them important when working with board members, school stakeholders, and central office staff when implementing school-based change. The additional behaviors as reported above included:

Additional Superintendent Behaviors with the Board of Education

Attend to board members' continuous learning needs in the area of school-based change.

Model the desired attributes of active listening, patience, and sharing new knowledge.

Be a friendly critic as well as a cheerleader for schools.

Recruit potential board of education candidates who are knowledgeable about school-based change.

Encourage the board of education to focus on student results.

Inform the board of education about school-based change activities.

Additional Superintendent Behaviors with School Stakeholders

Ensure that diverse community and organizational interests are represented through key members selected for school planning team participation.

Express clear expectations about the purpose for school-based change.

Encourage stakeholders to pursue school recognition through competitive awards.

Demonstrate visibility and passion about school-based change.

Redefine change parameters as the environment changes.

Assume an active role in staff development activities related to school-based change.

Additional Superintendent Behaviors with Central Office Staff

Clearly define the support role of central office staff.

Model the leadership attributes of a life-long learner, effective problem solver, and active listener.

Summary

This chapter presented the findings of the study obtained through the Survey of Superintendent Behaviors questionnaire and the follow-up interviews with the five superintendents. It described the respondents to the survey, the school districts represented, the implementation of the /I/D/E/A/ School Improvement Process components in the districts represented, the perceptions of the superintendents about the importance of the behaviors reported in the literature related to working with school board members, school stakeholders, and central office staff to support school-based change, the reasons some behaviors were considered most important, and other important superintendent behaviors not included in the 33 behaviors in the SSB.

Chapter 5 will discuss the summary, conclusions, and recommendations resulting from this study.

CHAPTER FIVE

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

Overview

This chapter presents a review of the study, followed by a summary of the findings. Next, the conclusions derived from the study are presented followed by a discussion of the implications for the role of the public school superintendent. Finally, suggestions for further research are identified.

Review of the Study

The purpose of the study was to provide initial inquiry into the role of the superintendent when supporting school-based change. The study determined the extent to which superintendents agreed with leadership role expectations defined in the literature on the management of school-based change and the relative importance of superintendent behaviors needed for successful implementation of school-based change. The study identified the way superintendents viewed their role with board of education members, school stake holders, and central office staff when supporting school-based change.

Specific Research Questions

The specific research questions addressed in this study were as follows:

1. What behaviors reported in the literature do superintendents involved in the /I/D/E/A/ School Improvement Process believe are most and least important to use with board of education members, school stakeholders, and central office staff when supporting school-based change?
2. What reasons do superintendents involved in the /I/D/E/A/ School Improvement Process give for identifying the most important role behaviors for supporting school-based change?

3. What role behaviors do superintendents involved in the /I/D/E/A/ School Improvement Process identify as most important for supporting school-based change which were not included in the literature?

The population of this study consisted of public school superintendents representing 35 school districts implementing the /I/D/E/A/ School Improvement Process (SIP). The school districts were identified by the Executive Vice President of /I/D/E/A/ on the basis of having trained facilitators who were implementing the design components of the SIP. Of the 35 superintendents who were included in the study, one was recently deceased prior to the beginning of the study. As a result, the total population was 34. Thirty of the 34 superintendents responded to the survey instruments resulting in a response rate of 88%.

The Survey of Superintendent Behaviors (SSB) was developed based upon leadership concepts noted in the professional literature on leadership and organizational change. A Respondent Data Sheet accompanied the SSB and was designed for the purpose of gathering personal information about the superintendents, demographic information about their school districts, and information about the level of implementation of the /I/D/E/A/ SIP program components. The first section of the Survey of Superintendent Behaviors (SSB) included eight behaviors considered important in the literature for a superintendent to demonstrate when working with members of the board of education to support school-based change. The second section of the SSB included 17 behaviors noted in the literature which were considered important for a superintendent in working with school stake holders to support school-based change. A final section of the SSB contained eight behaviors noted in the literature and considered important

for a superintendent to use when working with central office staff to support school-based change. These behaviors were validated by a group of national experts.

A fourth section of the SSB consisted of an open-ended question which provided opportunities for the superintendents in the population to add behaviors they believed important for working with members of the board of education, school stake holders, and central office staff that were not included in the survey.

The data were collected through a mailed survey to 34 superintendents in the population identified by /I/D/E/A/ as having trained facilitators implementing the components of the School Improvement Process. Two follow-up activities were used to increase the number of responses. The first consisted of a phone call asking the superintendent to complete the survey, the second consisted of a second mailing to the superintendents who had not returned the survey.

Quantitative and qualitative data were collected and analyzed to answer the research questions. Descriptive statistics of means, standard deviations, frequencies, and percentages were used to determine the importance of the 33 behaviors. Frequencies and percentages were used to analyze the demographic data. Follow-up interviews held for the purpose of determining the reasons for the superintendents' selection of most important behaviors were analyzed for common themes. Using procedures recommended by Glesne and Peshkin (1992) and Bogdan and Biklen (1982), a rationale for the superintendents' selection of the most important behaviors was developed.

Major Findings

In this section the major findings are presented for each of the three questions.

Importance of Superintendent Behaviors

The first question dealt with determining the degree of importance of 33 behaviors included in the Survey of Superintendent Behaviors. Three groups of behaviors were analyzed: superintendent behaviors with the board of education, superintendent behaviors with school stakeholders, and superintendent behaviors with central office staff.

Responses on the eight superintendent behaviors related to working with boards of education indicated that the group of respondents believed all but one behavior was important. Four behaviors were determined to be “most important” for the superintendents to demonstrate when working with board of education members to support school-based change. These four which had a combined response of 90% on the “very important” and “important” options were 1) create an organizational structure which promotes school-based planning and authority; 2) develop parameters for school-based decisions which promote school change; 3) clarify the extent to which board members are comfortable with schools becoming different due to individual school-based change programs; and 4) review and, when appropriate, revise district policies for the purpose of supporting school-based change.

The 30 superintendents in the study did not agree on the value of providing opportunities for school board members to participate on planning teams for school-based change. Fifteen of the respondents believed it was either “very important” or

“important.” However, five superintendents found it “neither important nor unimportant” and 10 indicated it was “not very important” or “not important at all.” Consequently, while this superintendent behavior was least important, its mean score of 3.3 indicated that it was not an unimportant superintendent behavior for supporting school-based change. None of the remaining behaviors were considered unimportant.

Superintendent behaviors with school stakeholders considered most important for supporting school-based change were those that the entire group of 30 respondents ranked “very important” or “important” on the SSB. Five behaviors met this criteria. One additional behavior was included because 83% of respondents indicated it was “very important.” The item received the highest degree of support among all items in the “very important” category. They included: 1) provide staff development resources to support school-based change goals; 2) involve principals in district-wide decisions that influence school-level decision making; 3) achieve direct communication between principals and superintendent; 4) encourage school district problem solving through long-range planning over quick-fix solutions as a way of solving school district problems; 5) inform all school stakeholders about the district’s values and priorities concerning school-based change; and, 6) monitor progress of school change efforts.

The remaining 11 behaviors in the school stakeholder section were all determined to be important by the group of 30 superintendents. Three behaviors for this group had means below 4.0 and above 2.0 indicating that while they were not considered unimportant, they were least important when compared to the other behaviors.

All of the eight behaviors in the section of superintendent behaviors with

central office administrators had a mean of 4.0 and were identified as important for supporting school-based change. The most important behaviors had a combined response on the “very important” and “important” categories on the SSB questionnaire of at least 96%. Four behaviors were in this category. They included: 1) communicate to the central office staff the district’s values and priorities about school-based change; 2) align district level human and fiscal resources with school-based change efforts; 3) model shared decision making for central office staff; and 4) demonstrate commitment to school-based change efforts by discussing related issues as district-level meetings. There were no behaviors in this category determined to be least important.

Reasons for Most Important Behaviors

The second question in this study was concerned with discovering the reasons for behaviors considered most important by the population of 30 superintendents. Interviews with five members of this group who were selected to represent the 30 superintendents resulted in a rationale for each of the 13 most important behaviors.

Most Important Behaviors with the Board of Education

Four superintendent behaviors were identified as most important to demonstrate when working with members of the school board to support school-based change. Each of these behaviors along with the reason(s) it was considered important are presented.

Item 1: Create an organization structure which promotes school-based change, planning, and authority.

Superintendents related this behavior to achieving substantive second order change in schools. The necessity for a school to be self-directed was linked to a school’s capacity to engage in planned, on-going school-based improvement. In

turn, an organizational structure with varying arrangements and relationships was believed to be inherently linked to supporting systemic change with decision making authority at school sites.

Item 2: Develop parameters for school-based decisions which promote school change.

Superintendents perceived this as a necessary requirement for providing clear direction to schools about the opportunities and constraints present in the system with implications for their authority to decide. This was most important to decision making and for limiting confusion around issues such as autonomy and variations in school programs resulting from school-based decision making and change.

Item 3: Clarify the extent to which school board members are comfortable with schools becoming different due to individual school-based change programs.

This behavior of a superintendent was believed most important because of the school board's influence on the continuing process of supporting change at the site level. The need for school board members to be tolerant of school differences was at the core of granting school autonomy. Unless there was a deep understanding throughout the system, particularly at the school level, the likelihood of successful, substantive change would be thwarted by a need for organizational adherence to rules and expectations for sameness at each school.

Item 4: Encourage the board of education to review and, when appropriate, revise district policies for the purpose of supporting school-based change.

This behavior was considered most important because of its relationship to supporting new and innovative school programs and practices. Increased authority

at the school level would require a superintendent to work with the board of education to address needed changes in policy allowing schools to develop a variety of school programs.

Most Important Behaviors with School Stakeholders

Five superintendent behaviors were identified as most important to demonstrate when working with stakeholders to support school-based change. Each of these behaviors, along with the reason(s) it was considered most important, are presented.

Item 9: Provide resources for staff development to support school-based change goals.

This behavior was most important because it fulfilled a commitment for the district to support the change ideas and decisions at the school level. The group of superintendents agreed that it was crucial to provide school stakeholders with training in school change planning and decision making, as well as training in areas which the staff identified as important for learning the knowledge and behaviors related to ongoing improvement.

Item 10: Involve principals in district-wide decisions which influence school-level decision making.

This was considered a high priority for superintendents because it required the superintendent to model the leadership skills being asked of principals with school stakeholders. The integrity of the superintendent for leading and supporting school-based change hinged on consistently modeling what was expected of others.

Item 11: Achieve direct communication between principals and superintendent.

This was most important to the successful implementation of school-based change because it had potential for focusing the principal's work with planning teams in the ongoing dialogue between the principal and superintendent. This contributed to the superintendent's understanding of the school's needs, the principal's issues, if there were any, and the changes being considered at the school.

Item 12: Encourage long-range planning over quick-fix solutions as a way of solving school district problems.

This behavior was most important because it evidenced the commitment of the superintendent to the ongoing belief in those closest to schools and students having the knowledge and capacity to solve the problems and develop the programs that fit the needs of the students in their schools. It had the further benefit of communicating confidence in the ownership and commitment of stakeholders whose involvement in school-based change was connected to an ongoing systematic change process which would continue even though the names of participants would change over time.

Item 13: Communicate the district's values and priorities about school-based improvement efforts.

Superintendents believed this behavior was considered most important because it was clearly an obligation for the superintendent to use the influence of the position to articulate the shared values of the board of education, school stakeholders, and all members of the school district and community. Even though the techniques for effective communication were seen as difficult to achieve, it was considered extremely important to continue the effort in this area and to involve a

variety of stakeholders in school-based planning whose membership added to the knowledge base about the school district's efforts and commitment to improvement through school-based change.

Most Important Behaviors with Central Office Staff

Four superintendent behaviors were considered most important in a superintendent's repertoire of behaviors when working with central office staff to support school-based change. Each of these behaviors along with the reason(s) it was considered most important are presented.

Item 26: Model shared decision making for central office staff.

Superintendents believed this was most important because it was an influential demonstration of intention and commitment to the promise of participatory decision making in the organizations. If central office staff were expected to facilitate and to lead through collaborative behaviors, it was incumbent upon the superintendent to teach and to draw upon the same behaviors in working with central office staff.

Item 27: Communicate to central office staff the district's values and priorities about school-based change.

This behavior was viewed most important by superintendents because it focused on the need for central office staff to understand and behave in the ways which aligned with the cultural norms being espoused by the leadership of the school district. A commitment to supporting school-based change carried with it the commitment to behave as facilitators, shifting old patterns of controlling and directing to new leadership behaviors of involving, supporting, and collaborating.

Item 28: Demonstrate commitment to school-based change efforts by discussing related issues at district-level meetings.

This behavior was most important for superintendents to attend to because it meant taking the time to focus on the work of schools, giving change initiators opportunity to network, learn from each other's experiences, and communicate needs related to information, resources, and assistance.

Item 29: Align district-level human and fiscal resources with school-based change efforts.

This behavior was determined most important by superintendents because it had the benefit of providing the capacity for schools to pursue the improvements needed through school-based planning and authority to act. Without the support of the superintendent and his/her use of organizational power to move resources and information to schools, it would be unlikely for them to carry out any substantive improvements

Additional Behaviors Submitted by Superintendents

The third question in this study was concerned with discovering whether the 30 superintendents in the population believed there were additional behaviors which were important for supporting school-based change which were not included in the Survey of Superintendent Behaviors (SSB).

The following items reflect an analysis and synthesis of 68 behaviors submitted by 17 of the 30 superintendents in this study. These behaviors were responses to an open-ended question on the SSB which asked respondents to list behaviors which they considered important when working with board members, school stakeholders, and central office staff that were not considered in the SSB.

A majority of the behaviors which superintendents submitted repeated those in the SSB. However, 31 of them were determined to be sufficiently varied to be

worthy of further analysis, a treatment which included grouping and synthesis.

This resulted in a total of 14 additional behaviors considered important for superintendents when working with school board members, school stakeholders, and central office staff to support school-based change.

The additional behaviors included:

Additional Superintendent Behaviors with the Board of Education

Attend to board members' continuous learning needs in the area of school-based change.

Model the desired attributes of active listening, patience, and sharing new knowledge.

Be a friendly critic as well as a cheerleader for schools.

Recruit potential board of education candidates who are knowledgeable about school-based change.

Encourage the board of education to focus on student results.

Inform the board of education about school-based change activities.

Additional Superintendent Behaviors with School Stakeholders

Ensure that diverse community and organizational interests are represented through key members selected for school planning team participation.

Express clear expectations about the purpose for school-based change.

Encourage stakeholders to pursue school recognition through competitive awards.

Demonstrate visibility and passion about school-based change.

Redefine change parameters as the environment changes.

Assume an active role in staff development activities related to school-based change.

Additional Superintendent Behaviors with Central Office Staff

Clearly define the support role of Central Office staff.

Model the leadership attributes of a life-long learner, effective problem solver, and active listener.

Conclusions

This study examined the importance of superintendent behaviors related to working with school board members, school stakeholders, and central office staff to support school-based change. Thirty-three behaviors were gleaned from the literature on leadership and organizational effectiveness and included in the Survey of Superintendent Behaviors. Interviews with five superintendents provided the researcher with data to support a rationale for why 13 of the behaviors emerged as most important for superintendent support of school-based change. An additional 14 behaviors were considered important by members of the population which were neither noted in the literature nor included in the SSB.

As a result of this study, the following conclusions were drawn:

1. With limited exceptions, superintendents involved in the */I/D/E/A/* School Improvement Process (SIP) believed that the superintendent behaviors reported in the literature for working with school board members, school stakeholders, and central office staff to support school-based change were important.
2. None of the behaviors examined in this study were viewed by the superintendents involved with school-based change as unimportant.
3. The 13 most important behaviors indicated that the superintendent's communication and actions need to be consistent with the school district's values and commitment to school-based change.
4. Superintendents did not regard their direct involvement with school planning teams or their direct involvement in implementing school-based change programs within schools as important.
5. Superintendents disagreed on the importance of involving school board members on school planning teams.

6. Establishing structural arrangements, decision-making parameters, and procedures for policy revision, along with developing tolerance for school program differences, were important issues for superintendents to consider when working with school boards in districts involved in supporting school-based change programs.
7. Reasons which superintendents gave for identifying 13 of the most important behaviors match the contemporary view of the superintendent as a cultural leader (Conley, 1993; Deal, 1990; Owen, 1990; Greenfield, 1988; Sergiovanni, 1992; Cunningham & Gresso, 1993). Creating an organizational structure consistent with the values of participating membership and providing support to members through actions which reflect adherence to the leader's stated values were the basis for behaviors considered most important.
8. Staff development is regarded by the superintendents in this study as an important resource to be provided for school board members, school stakeholders, and central office staff in order to support the ongoing learning needs of each group so that they are prepared to facilitate, support, and implement school-based change programs.
9. Fourteen additional behaviors not found in the literature were determined by the superintendents in this study to be important and consequently worthy for superintendents to consider when working with school board members, school stakeholders, and central office staff to support school-based change.

Recommendations

This section reports the recommendations from the study. First, possible actions for superintendents, institutions of higher learning, and boards of education, are presented. Next, recommendations for further study are identified.

Based upon the findings and conclusions of this study, it is recommended that:

1. Superintendents engaged in initiating and/or continuing a decentralized approach to school district management and school-based change should give consideration to the important behaviors in this study and use them to guide their work with board members, school stakeholders, and central office staff.
2. The school superintendent should assess the staff development resources available in the school district and determine how to best provide training for staff who need skills in facilitating planning teams, and professional development for staff to acquire the knowledge and skills needed to introduce a variety of school improvement activities. The learning needs of board members should also be included in any staff development planning to support school-based change.
3. The superintendent should communicate directly with each school principal, support them through inquiry and problem solving, and include principals in district-level decisions, particularly when they may impact activities at the schools.
4. Superintendents should examine the need to assist board members in understanding that school-based change programs may promote

differences in school programs that require flexible approaches by the superintendent regarding the management of schools.

5. The importance of ongoing and effective communication by the superintendent should be of primary concern to superintendents working to support school-based change. It would be important for the superintendent to: 1) develop communication networks to support the learning and information needs of school stakeholders; 2) provide frequent and descriptive information to board members about the change activities and resulting new programs in schools; 3) dedicate time in district meetings to discussing school-based change issues; 4) utilize effective public relations techniques to inform citizens about the schools' efforts and outcomes in school-based change; and 5) ask questions about school planning meetings, activities, achievements, and problems related to change as a method for receiving information from the stakeholders about the work going on in schools.
6. Superintendents might consider using the findings from this study in a reflective way, holding a mirror up to oneself to compare self motives, values, and behaviors to those directly or indirectly implied in the behaviors for supporting school-based change.
7. Assuming the continuous emphasis on the need for schools to improve and superintendents to lead in a decentralized organization, institutions of higher learning should consider development of superintendent certification program goals and outcomes that address the important behaviors of this study.

8. School boards should consider using the important behaviors in this study as they recruit and select a superintendent to lead school based change in their district.

Recommendations for Further Study

It is recommended that further studies be conducted in order to extend the findings of this study. For example:

1. Using the behaviors in this study, conduct other studies with superintendents utilizing systematic change processes other than the /I/D/E/A/ SIP to determine the level of generalizability of these findings.
2. Conduct studies to determine the extent to which additional superintendent behaviors identified in this study are considered important in schools using a process of school-based change other than the /I/D/E/A/ SIP.
3. Conduct a study to examine the effects of including school board members on school-based planning teams to understand the impact of their involvement related to 1) their role in supporting school-based change; 2) increased support for school-based change programs; 3) board member-superintendent relations; 4) policy decisions ; and 5) school district climate.
4. Conduct research to identify staff development needs and effective programs for training superintendents who are initiating and/or implementing a systematic school-based change program.
5. Conduct qualitative studies to determine the impact of implementing school-based change on collective bargaining, decision making,

organizational climate, student achievement, and parental involvement in school districts..

6. Conduct a broader survey to discover the extent to which current superintendents in districts not implementing school-based change, support and practice the behaviors of this study.
7. Conduct research to determine how to identify potential superintendents who can provide the kind of leadership implied by the behaviors identified as important in this study.

Summary

This chapter reviewed the study, the findings, the conclusions, and provided recommendations for action and for further study. The results of this study provided data which identified important superintendent behaviors to use with school board members, school stakeholders, and central office staff when supporting school-based change. The study also revealed the reasons why superintendents identified some behaviors as most important for supporting school-based change. Additional behaviors not found in the literature were also identified.

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APPENDIX A

Appendix A

The Survey of Superintendent Behaviors Respondent Data Sheet

Dear Superintendent:

If directory information is
incorrect,
please indicate changes above.

If phone number above is incorrect,
please show change below:

(____) _____ - _____

Information about you and your school district will be helpful in describing the results of a study on the Role of the Superintendent Engaged in Supporting School-based Change. In some cases a respondent may no longer be serving the district as superintendent. If you are retired and/or have assumed another position, please complete the survey reflecting upon your most recent experience as a superintendent in a district implementing the /I/D/E/A/ School Improvement Process. Please be assured that responses to the data sheet and survey will remain confidential. The identification of superintendents and school districts participating in this study will be limited to the researcher. Your responses have been keyed for the purpose of assisting the researcher in seeking further data through phone interviews with selected respondents at a later date.

Please provide answers to items below using spaces provided.

1. Years of experience as a superintendent, including school year 1995-96:

2. Number of years in a superintendent's position during which you were implementing the /I/D/E/A/ School Improvement Process including school year 1995-96, if applicable: _____

School district demographics, where you are/were implementing the /I/D/E/A/ School Improvement Process:

3. Student population _____
4. Total number of schools _____
 - A. Number of elementary schools _____
 - B. Number of junior high/middle schools _____
 - C. Number of high schools _____

5. Type of district: Urban _____ Suburban _____ Rural _____
6. Number of schools in which staff members were trained as facilitators in the /I/D/E/A/ School Improvement Process (SIP) _____
7. Number of schools in which planning teams were organized to lead school improvement efforts _____
8. Please circle those who participated on SIP planning teams:
- | | | | |
|------------------------------------|----------|----------------|----------------------------|
| Parents | Teachers | Principal | Community/Business Persons |
| Other Administrators in the School | Students | Central Office | |
| Administrators | | | |

9. Please provide information about the effects of SIP activities in your district:

	<u>Please circle</u>	<u>In what number of schools?</u>
A. The school planning team developed a vision for the school.	Yes or No	_____
B. School improvement goals were identified to address the vision of the school planning team.	Yes or No	_____
C. Design teams were organized to implement the goals of the school improvement planning team.	Yes or No	_____
D. Staff development activities were organized to assist those responsible for implementing new programs.	Yes or No	_____
E. The school improvement planning team monitored activities designed to achieve the vision and goals of the school.	Yes or No	_____
F. New members were/are added to the school planning team as school improvement activities were/are continued into second, third, or fourth cycles.	Yes or No	_____

10. Please indicate your level of involvement with School Improvement Planning team(s).

Please circle

A. Were you trained as an /I/D/E/A/ SIP facilitator? Yes or No

If yes, please complete the following:

I was trained in Workshop 1. Year: _____

I was trained in Workshop 2. Year: _____

Please circle

B. Do you or did you attend school planning team meetings? Yes or No

C. Do you or did you hold meetings with planning team leaders in order to learn about their progress and to inquire about their needs. Yes or No

D. Do you or did you invite principals and SIP leaders to share their SIP experiences at Board of Education meetings. Yes or No

11. Do you have knowledge of school improvement programs resulting from the efforts of school planning teams? Yes or No

12. If SIP facilitators were asked to rate you according to your level of support for their efforts in leading school-based change, how do you believe they would rate you? 5 4 3 2 1
(5 = Extremely Supportive
1 = Not Supportive)

13. What rating would you give to your school district for its level of commitment to the work of those leading school-base change? 5 4 3 2 1
(5 = Extremely Committed
1 = Non Committed)

APPENDIX B

Appendix B

The Survey of Superintendent Behaviors

Superintendent Behaviors with Board of Education

Listed below are behaviors that describe the superintendent's role in working with the **Board of Education**. Please rate each behavior according to its importance for your role in supporting school-based change.

- 5 = Very Important (VI)
- 4 = Important (I)
- 3 = Neither Important nor Unimportant (NI/U)
- 2 = Not Very Important (NV)
- 1 = Not Important at All (N)

In supporting school-based change, it is important for a superintendent to:

(Circle one)

	<u>VI</u>	<u>I</u>	<u>NI/U</u>	<u>NV</u>	<u>N</u>
• encourage Board of Education members to review and, when appropriate, revise district policies for the purpose of supporting school-based change.	5	4	3	2	1
• seek Board of Education support for requesting waivers to state rules and regulations when needed to facilitate school-based change.	5	4	3	2	1
• work with the Board of Education to develop parameters for school-based decisions which promote school change.	5	4	3	2	1
• work with the Board of Education to create an organizational structure which promotes school-based planning and authority.	5	4	3	2	1
• support school change participants by recognizing their achievements at Board of Education meetings.	5	4	3	2	1
• work with Board of Education members to clarify the extent to which they are comfortable with schools becoming different due to individual school-based change programs.	5	4	3	2	1
• provide opportunities for Board of Education members to participate on planning teams for school-based change.	5	4	3	2	1
• provide board members with ongoing training in the practices of systematic change processes for schools.	5	4	3	2	1

Superintendent Behaviors with School Stakeholders

Listed below are behaviors that describe the superintendent's role in working with **School Stakeholders** (staff, parents, students, community members). Please rate each behavior according to its importance for your role in supporting school-based change.

- 5 = Very Important (VI)
- 4 = Important (I)
- 3 = Neither Important nor Unimportant (NI/U)
- 2 = Not Very Important (NV)
- 1 = Not Important at All (N)

In supporting school-based change, it is important for a superintendent to:

(Circle one)

	<u>VI</u>	<u>I</u>	<u>NI/U</u>	<u>NV</u>	<u>N</u>
• involve leaders of the teachers' organization in decisions which influence school level decision making.	5	4	3	2	1
• involve principals in district-wide decisions which influence school level decision making.	5	4	3	2	1
• monitor progress of school change efforts.	5	4	3	2	1
• inform all school stakeholders about the district's values and priorities concerning school-based change.	5	4	3	2	1
• provide opportunities for schools to be self-directed in implementing programs to achieve school-based change goals.	5	4	3	2	1
• demonstrate commitment to school-based change by aligning central office staff support with schools' needs.	5	4	3	2	1
• work with community members to build support for school-based change programs.	5	4	3	2	1
• achieve direct communications between principals and the superintendent.	5	4	3	2	1

Superintendent Behaviors with School Stakeholders, cont.

- 5 = Very Important (VI)
 4 = Important (I)
 3 = Neither Important nor Unimportant (NI/U)
 2 = Not Very Important (NV)
 1 = Not Important at All (N)

	(Circle one)				
	<u>VI</u>	<u>I</u>	<u>NI/U</u>	<u>NV</u>	<u>N</u>
• be directly involved with planning school-based change programs.	5	4	3	2	1
• be directly involved with implementing school-based change programs.	5	4	3	2	1
• be directly involved with monitoring school-based change programs.	5	4	3	2	1
• support school improvement program participants by recognizing their achievements.	5	4	3	2	1
• recognize individuals involved in school-based change efforts even when their efforts fail to meet anticipated outcomes.	5	4	3	2	1
• grant decision making authority to school leaders engaged in school-based change efforts.	5	4	3	2	1
• visit schools to gain information about progress toward achieving school-based change goals.	5	4	3	2	1
• provide staff development resources to support school-based change goals.	5	4	3	2	1
• encourage long-range planning over quick fix solutions as a way of solving school district problems.	5	4	3	2	1

Superintendent Behaviors with Central Office Staff

Listed below are behaviors that describe the superintendent's role in working with **Central Office Staff**. Please rate each behavior according to its importance for your role in supporting school-based change.

- 5 = Very Important (VI)
- 4 = Important (I)
- 3 = Neither Important nor Unimportant (NI/U)
- 2 = Not Very Important (NV)
- 1 = Not Important at All (N)

In supporting school-based change, it is important for a superintendent to:

(Circle one)

	<u>VI</u>	<u>I</u>	<u>NI/U</u>	<u>NV</u>	<u>N</u>
• align district level human and fiscal resources with school-based change efforts.	5	4	3	2	1
• monitor central office involvement in school based change efforts.	5	4	3	2	1
• communicate to the central office staff the district's values and priorities about school-based change.	5	4	3	2	1
• model shared decision making for central office staff.	5	4	3	2	1
• recognize central office staff efforts related to school-based change.	5	4	3	2	1
• recognize central office staff efforts in school-based change even when such efforts fail to meet anticipated outcomes.	5	4	3	2	1
• provide staff development resources for central office staff related to supporting school-based change efforts.	5	4	3	2	1
• demonstrate commitment to school-based change efforts by discussing related issues at district level meetings.	5	4	3	2	1

Superintendent Behaviors Not Described in the Survey

Thank you for taking time to complete the Survey of Superintendent Behaviors in Supporting School-Based Change. If you believe there are other superintendent behaviors important to supporting school-based change, please add them below.

Behaviors with Members of Board of Education

1.

2.

3.

Behaviors with School Stakeholders

1.

2.

3.

Behaviors with Central Office Staff

1.

2.

3.

If you wish to receive information about the results of this study, please indicate by checking below. This survey is to be returned to Elizabeth A. Ennis, Twp. High School District 214, 2121 South Goebbert Road, Arlington Heights, IL 60005. A stamped, self-addressed envelope is enclosed.

_____ I would like to receive the results of the study of the Role of the Superintendent Engaged in Supporting School-Based Change.

APPENDIX C

Appendix C

ELIZABETH A. ENNIS

2121 South Goebbert Road
Arlington Heights, IL 60005
708/364-8603

September 6, 1995

Name of Expert
Address

Dear (Name of Expert):

Thank you for agreeing to participate in a study of the role of the superintendent in supporting school-based change. I intend to seek the opinion of superintendents in school districts where the /I/D/E/A/ School Improvement Process is being utilized to promote school-based change programs.

Your assistance in determining content validity for the instrument which I have created for this study will be most helpful to me and to others interested in this topic. Your task is to indicate your acceptance or rejection of survey items based upon whether you believe each item represents the domain of content selected as the background for this study. In this case, the domain of content is that of leadership and organizational change.

Your extensive training, experience, and teaching in the area of staff development, leadership, and school change make you extremely qualified as an expert to judge the items in this survey. As you know, the role of the superintendent is key to achieving maximum benefits from the efforts of students, staff, parents, and other citizens who dedicate their energies to school change efforts. This assumption will, I believe, be strengthened as a result of my study.

I am deeply appreciative of your willingness to participate in a validity check of items on the Survey of Superintendent Behaviors. Your immediate attention to the task is requested. Please call me if you have questions or comments about this request, the task, or the study in general.

Sincerely,

Elizabeth A. Ennis
Deputy Superintendent
Township High School District 214
Arlington Heights, IL

E/p
Enclosure

APPENDIX D

Appendix D
Content Validity Appraisal
of the
Survey of Superintendent Behaviors

Behaviors for those who occupy the role of superintendent are suggested in studies of effective leadership and in the research on organizational change. Such research provided the backdrop for a study of superintendent behaviors when his or her leadership efforts are focused on supporting school-based change.

As an expert in the field of staff development, leadership, and organizational change, your opinion about the strength of the following items as being representative of the literature is important.

Please check "yes" or "no" next to each item to indicate whether or not you agree that the item represents the domain of content of organizational leadership and change. Or, strike out, add, or combine words or items that better reflect the meaning of the literature.

Superintendent Behaviors with Board of Education

In supporting school based change efforts,
it is important for a superintendent to:

- encourage Board of Education members to review district policies for the purpose of supporting school improvement efforts. Yes _____ No _____
- seek Board of Education support for requesting exemptions to state rules and regulations when needed to facilitate school improvement programs. Yes _____ No _____
- work with the Board of Education to develop parameters for school-based decisions which promote school improvement programs. Yes _____ No _____
- work with the Board of Education to create an organizational structure which promotes school-based planning and authority. Yes _____ No _____
- give recognition to school improvement participants by honoring their achievements at Board of Education meetings. Yes _____ No _____
- work with Board of Education members to clarify the extent to which they are comfortable with schools becoming different due to individual school improvement programs. Yes _____ No _____
- provide opportunities for Board of Education members to receive training and participate in the I/D/E/A School Improvement Program. Yes _____ No _____

- provide board members with ongoing training in the principles of systematic change processes for schools and school districts. Yes _____ No _____

Superintendent Behaviors With School Stakeholders

In supporting school based change efforts, it is important for a superintendent to:

- involve leaders of the teachers' organizations in decisions which influence school level decision making. Yes _____ No _____
- involve principals in decisions which influence school level decision making. Yes _____ No _____
- apply principles of organizational change theory in monitoring progress toward school goals. Yes _____ No _____
- communicate to the school stakeholders the district's values and priorities about school-based improvement efforts. Yes _____ No _____
- provide opportunities for schools to be self-directed in implementing programs to achieve school improvement goals. Yes _____ No _____
- demonstrate commitment to school based management by aligning central office staff support with schools' needs. Yes _____ No _____
- work with community members to build support for school-based improvement efforts. Yes _____ No _____
- achieve direct communications between principals and the superintendent. Yes _____ No _____
- Be directly involved with planning, implementing, and monitoring school-based improvement efforts. Yes _____ No _____
- give recognition to school improvement participants by honoring their achievements. Yes _____ No _____
- give recognition to individuals for school improvement efforts even when their efforts fail to meet anticipated outcomes. Yes _____ No _____
- grant authority to school leaders engaged in school-based improvement efforts. Yes _____ No _____

- visit schools to gain information about progress in attaining school-based improvement goals. Yes _____ No _____
- provide school-based resources to be used for staff development related to school based improvement goals. Yes _____ No _____
- provide opportunities for training in areas related to school-based improvement goals. Yes _____ No _____
- communicate the school district's values and priorities about school-based improvement efforts. Yes _____ No _____
- share school district problems and communicate long-range planning over quick fix solutions. Yes _____ No _____

Superintendent Behaviors With Central Office Staff

In supporting school based change efforts, it is important for a superintendent to:

- align district level support systems to school-based needs. Yes _____ No _____
- apply principles of organizational change theory in monitoring progress toward school goals. Yes _____ No _____
- communicate to the central office the district's values and priorities about school-based improvement efforts. Yes _____ No _____
- model collaborative planning by involving central office staff in shared decision making. Yes _____ No _____
- give recognition to central office staff who support school-based improvement efforts. Yes _____ No _____
- give recognition to central office staff for school improvement efforts even when such efforts fail to meet anticipated outcomes. Yes _____ No _____
- organize central office staff to support school-based curricular and instructional planning. Yes _____ No _____

- provide opportunities for training for central office staff in areas related to school-based improvement goals. Yes _____ No _____

Please suggest other behaviors that I may not have noted in the literature:

Expert's Name: _____

Date: _____

Please return to Elizabeth A. Ennis, Twp. High School District 214, 2121 South Goebbert Road, Arlington Heights, IL 60005

APPENDIX E

Appendix E

ELIZABETH A. ENNIS

2121 South Goebbert Road
Arlington Heights, IL 60005
708/364-8603

October 2, 1995

Dear Colleague Administrator:

I am engaged in a study of the various behaviors which public school superintendents believe are important to their role when school personnel, students, parents, Central Office staff, and community leaders share responsibility in planning and implementing school-based change programs.

I intend to seek the opinion of superintendents in school districts where the /I/D/E/A/ School Improvement Process is being utilized to promote school-based change programs. While knowing the various elements of this particular process would give you specific background information, it is not required in order for you to assess the overall clarity of the instrument for use in this study.

The task at hand is to determine the overall clarity, readability, and presentation design of the instrument and to report your general sense of comfort with the directions. I am asking you to assist in my study because I respect your opinion, trust your judgment, and believe that you will complete the task in a prompt and forthright manner.

Thank you for your assistance and for the support and encouragement that it provides as I pursue a long overdue goal--the completion of the degree of Doctor of Education at the University of Oklahoma.

Sincerely,

Elizabeth A. Ennis
Deputy Superintendent
Township High School District 214

E/p
Enclosure

APPENDIX F

Appendix F
Clarity, Readability, and Format Design Appraisal
Survey of Superintendent Behaviors

Section I - Background Information - Superintendents

Please indicate your level of satisfaction with the items in the Background Information section of the instrument using the following criteria. Place a check in either the "Satisfactory" or "Unsatisfactory" space provided.

Thank you for your assistance.

	Satisfactory	Unsatisfactory
1. Directions are clear and lead the respondent toward an understanding of how to proceed.	_____	_____
2. Questions were formulated to be understandable.	_____	_____
3. Format provides a sense of ease for making responses.	_____	_____

Please offer suggestions for improvement.

Clarity, Readability, and Format Design Appraisal
Survey of Superintendent Beliefs and Behaviors

Section II - Superintendent Behaviors

Please indicate your level of satisfaction with the items in the Behaviors section of the instrument using the following criteria. Place a check in either the "Satisfactory" or "Unsatisfactory" space provided. Thank you for your assistance.

	Satisfactory	Unsatisfactory
1. Directions are clear and lead the respondent toward an understanding of how to proceed.	_____	_____
2. Questions were formulated to be understandable.	_____	_____
3. Format provides a sense of ease for making responses.	_____	_____

Please offer suggestions for improvement.

APPENDIX G



Appendix G

INSTITUTE FOR DEVELOPMENT OF EDUCATIONAL ACTIVITIES, INC.

259 Regency Ridge • Dayton, Ohio 45459 • (513) 434-6969 • Fax (513) 434-5203

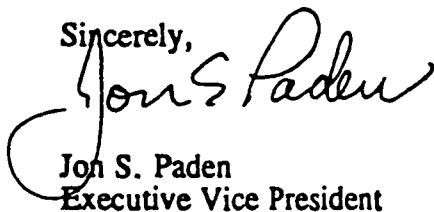
October 25, 1995

Recently I agreed to assist one of |I|D|E|A|'s long-time friends and colleagues by helping her secure data for a study she is completing. The study is of interest because it will provide an initial look at what superintendents believe are important role behaviors in supporting school-based change. The population that Liz Ennis has identified for her study is the group of superintendents in districts where the |I|D|E|A| School Improvement Process is being implemented.

Liz has spent a number of years involved in various activities with |I|D|E|A|. In fact, she has helped |I|D|E|A| by participating in our SIP training program for facilitators. Some of you may know her from that experience. I believe that the study Liz has selected will help discover useful information for all of us as we continue to learn about and plan for continuous school improvement.

I encourage you to respond to the instrument that Liz is sending to you and, if requested, find time to participate in a follow-up phone interview. I know that she will be most appreciative and will be happy to share her findings with you and others, including those of us at |I|D|E|A|.

Sincerely,



Jon S. Paden
Executive Vice President

APPENDIX H

Appendix H

ELIZABETH A. ENNIS

2121 South Goebbert Road
Arlington Heights, IL 60005
708/364-8603

November 9, 1995

Dear Superintendent:

I expect that by now you have received a letter from Jon Paden at /I/D/E/A/ introducing me and a study which I am undertaking. When I was first introduced to the /I/D/E/A/ School Improvement Process in 1982, I had no idea that I would one day be interested in studying the process from the perspective of the superintendent. A long and fruitful relationship with /I/D/E/A/ colleagues across the country and a continuing interest in improving schools finally led to this study and this letter.

Fred Morton and Jon Paden at /I/D/E/A/ included your name on a list of superintendents whose school districts have one or more schools engaged in using the /I/D/E/A/ School Improvement Process for organizing and implementing school-based change programs. I asked for such a list because my study attempts to clarify the behaviors which you and other superintendents perceive are important to your role when supporting change efforts in your district. As you may know, there is little written on this topic. Most of the literature in this area focuses on the role of the principal. It seems to me, however, that it will be helpful to know and understand issues related to school-based change from the perspective of the superintendent.

It is my hope that I might tap your interest in this topic, at least to the extent that you will respond to the enclosed survey and perhaps participate in a follow-up telephone interview. In doing so you will contribute to the knowledge base about your important work, provide useful information for other superintendents to consider when implementing systematic change processes, and assist me in completing a much overdue study for the degree of Doctor of Education at the University of Oklahoma.

Thank you for your assistance and for sharing your insights about the role of the superintendent in supporting school-based change. I look forward to receiving a completed survey from you in a few weeks.

Sincerely,

Elizabeth A. Ennis
Deputy Superintendent
Township High School District 214
Arlington Heights, IL

E/p
Enclosure

APPENDIX I

Appendix I

ELIZABETH A. ENNIS

2121 South Goebbert Road
Arlington Heights, IL 60005
708/364-8603

December 14, 1995

Dear Superintendent:

Greetings! The holidays are upon us, and like most people I'm sure you are juggling a number of activities along with your many responsibilities. Several weeks ago I mailed you a letter and survey on the topic of the Role of the Superintendent in Supporting School-based Change. According to colleagues at /I/D/E/A/ you know something about this topic, having had staff in your district engage in School Improvement Facilitator Training.

If you had little or no time to address the completion of the instrument previously sent, I am hoping that you will be able to spend a few minutes responding to the one enclosed prior to the holidays. You would be giving me a wonderful gift and I, in turn, will return the favor to you with the merriest of thoughts and cheerful good wishes for happiness and good health in the coming year.

You have my utmost appreciation and gratitude for your expression of charity in this busiest of seasons.

Sincerely,

Elizabeth A. Ennis
Deputy Superintendent
Township High School District 214
Arlington Heights, IL

E/p
Enclosure

APPENDIX J

Appendix J

ELIZABETH A. ENNIS
2121 South Goebbert Road
Arlington Heights, IL 60005
847/718-7603

May 17, 1996

Dear Superintendent:

Earlier this year you were kind enough to assist me in a study of Superintendent Behaviors for Supporting School-based Change. The response rate at 88 percent among participants in the population was extremely impressive. Not surprising I suppose, given the overall commitment by superintendents already engaged in the /I/D/E/A/ School Improvement Process.

Before summarizing the findings of the study, I would like to talk with five superintendents whose responses most matched the opinions of the group. The purpose of this is to seek reasons about why certain behaviors were considered more important than others. I would like to include examples from superintendent experiences with school-based change. In short, real life stories always give meaning to numbers, means, rankings, etc.

You are among five superintendents randomly selected from eleven whose responses most matched the overall frequency of responses by the sample group. I would love to interview you by phone. I hope you will agree to do so as your experience is very important. The interview will remain anonymous and only be used to support questions related to the data. The interview will be limited to a maximum length of thirty minutes. Questions will be focused on superintendent behaviors which the population reported as most important for supporting school-based change.

Included is a rank order list of behaviors resulting from the survey. The behaviors are grouped separately for the Board of Education, School Stakeholders, and Central Office Staff. As you review the list I hope you will find that the behaviors relate to your experience.

I will call you in a few days to establish an appointment for a phone interview to be held in the next two weeks. I sincerely hope you will agree to my request. I look forward to speaking with you soon.

Cordially,

Elizabeth A. Ennis

E/p
Attachment

APPENDIX K

Appendix K

Follow-up Phone Interview Protocol and Opening Questions

- I. Opening
 - A. Greeting and Reintroduction
 - B. Appreciation for Response to the Survey
 - C. Purpose of the Interview
 - D. Explicit Statement of Intended Interview Length
 - E. Permission for Recording
- II. Interview Questions
 - A. There were several behaviors which you and many other superintendents in this study indicated were extremely important. For example, with the board of education you indicated that behavior # __ is most important for the success of school-based change programs.
 - 1. Could you elaborate on why you believe this is so?
 - 2. What evidence have you collected throughout your experience to support your opinion about this behavior?
 - B. In the section of behaviors with school stake holders you and other superintendents indicated importance for the following behaviors. I am interested in discovering reasons for this.
 - 1. What impact has this behavior had on school-based change? Could you elaborate
 - 2. Are there other reasons why you find it most important?
 - C. Repeat for behaviors with central office staff

III. Closing

- A. Appreciation for contribution of time to the interview process
- B. State a brief overview of key responses
- C. Provide opportunity for interviewee to ask questions
- D. Assure interviewees of the confidentiality of their responses
- E. Offer to share findings of the study
- F. Close with sincere expression of gratitude

APPENDIX L

Appendix L

Descriptive Data on Superintendents in Sample

Table 4
Years of experience as Superintendent

Number of Superintendents	1-5		6-10		Years 11-15		16-20		> 20	
	f	%	f	%	f	%	f	%	f	%
30	10	33	8	27	6	20	5	17	1	3

Table 5
Years of Experience as a Superintendent
Working with the /I/D/E/A/ School Improvement Process

Number of Superintendents	1-5		6-10		Years 11-15		16-20	
	f	%	f	%	f	%	f	%
30	19	63	7	23	4	14	0	0

Table 6
/I/D/E/A/ SIP Training
of Superintendents

Number of Superintendents	Session 1		Session 2	
	f	%	f	%
30	25	83	13	43

Table 7
Level of Active Involvement
of Superintendents

Number of Superintendents	Involvement	f	%
30	Attendance at Planning Team Meetings	23	77
	Meets with Planning Team Leaders to Learn of Progress and Needs	24	80
	Invites Planning Team Leaders to Share SIP Experiences at Board of Education Meetings	21	70
	Is knowledgeable and Can Report New Programs Resulting From SIP Efforts	30	100

Table 8
Superintendents' Opinion of How Others
Perceive His/Her Support

Number of Superintendents	Perceived Opinion	f	%
30	Very Supportive	25	83
	Supportive	5	17
	Not Supportive	0	0

Table 9
Superintendents' Opinion of School District's Commitment
to Leaders of School-Based Change

Number of Superintendents	Superintendents' Opinion of District's Commitment	f	%
30	Very Committed	22	73
	Committed	7	23
	Uncommitted	1	3

APPENDIX M

Appendix M

School District Demographics

Table 10
Student Population Size in Superintendents'
School Districts

Number of School Districts	Number of Students									
	2,500 - 5,000		5,001 - 7,500		7,501 - 10,000		10,001 - 15,000		15,001 - 25,000	
	f	%	f	%	f	%	f	%	f	%
30	7	23	7	23	6	20	7	23	3	10

Table 11
Number of Schools in Superintendents'
School Districts

Number of School Districts	Number of Schools									
	1-10		11-20		21-35		36-50		>50	
	f	%	f	%	f	%	f	%	f	%
30	15	50	9	31	4	13	1	3	1	3

Table 12
Number of Elementary, Junior High/Middle,
and High Schools in Superintendents'
School Districts

Number of School Districts	Elementary Schools	Junior High/ Middle Schools	High Schools
30	335	103	81

Table 13
Type of School District Served by
Superintendents

Number of School Districts	School District Types					
	Urban		Suburban		Rural	
	f	%	f	%	f	%
30	5	17	21	70	4	13

APPENDIX N

Appendix N

Program Implementation Data

Table 14
Number of Schools Involved in
/I/D/E/A/ SIP Training

Number of School Districts	Total No. of Schools	No. & Percent of Schools Trained	
		f	%
30	519	319	61

Table 15
Membership Categories Included on
Planning Teams in Superintendents' Districts

Number of School Districts	Category	No. & Percent of Schools Trained	
		f	%
30	Parents	29	97
	Teachers	30	100
	Principals	30	100
	Community Members	22	73
	Other School Administrators	22	73
	Students	21	70
	Central Office Administrators	26	86

Table 16
School Implementation of /I/D/E/A/ SIP
Components

Number of Schools	Component	f	%
319	School Vision	296	93
	Improvement Goals Established	302	95
	Implementation Designs	292	91
	New Program Training	276	86
	New Program Monitoring	274	86
	SIP Recycling	246	77

APPENDIX O

Appendix O

Behaviors Rejected for Analysis as Additional Superintendent Behaviors for Supporting School-Based Change

Behaviors with Members of Board of Education:

1. Elected board members often want to change something and are often in conflict when they find that the authority or influence for this issue has been delegated to the school level.
2. Board should assign member to participate on school based team.
3. Encouragement of Board members on school planning team as well as on individual goal action teams.
4. Convey SDM/SIP philosophy to prospective board members.
5. Share research supporting SBC.
6. Modify budget process to zero based, programmatic budget with district and program priorities.
7. Clarify core values of district.
8. Involve in Level 1 training.
9. Provide research, but practice information and well-rounded learning opportunities.
10. Must head them in process.
11. Board members who seek office because they are "needy" often find it difficult to support decentralized governance systems.
12. Provide ongoing SIP in service.
13. Establish systemic strategic plan to create framework for site based planning.

Behaviors with School Stakeholders

1. Communicate the need for change to stakeholders.

Behaviors with School Stakeholders, cont.

2. Imperative that there are agreements and clarity about purpose and expected outcomes of the planning or improvement process.
3. Support activity of school based team.
4. Involve them in defining the vision.
5. Provide training and consultation.
6. Define parameters.
7. Develop and promote core values of district.
8. Provide ongoing training.
9. Celebrating their successes with lots of recognition for the group and individuals who contribute in significant ways.
10. Be actively engaged with district school improvement team.
11. Provide resources.
12. Participation in leadership and decision-making
13. Ask questions -- it helps me understand and communicate my interest.

Behaviors with Central Office Staff

1. Identified protocols about how we do our business is helpful for the entire leadership team.
2. Assign and provide real time for CO staff to work on planning and/or design teams.
3. Building capacity within district parameters is an important expectation of leadership in school improvement efforts.
4. Changing CO staff is hard and they need to be included in all training and meetings to reinforce that role/relationship change.
5. Expect CO to develop/implement SDM or SIP model.
6. Require periodic feedback.

Behaviors with Central Office Staff, cont.

- 7. Teamwork roles.**
- 8. Shift role to support and technical assistance, away from directive supervision.**
- 9. Build team directly for the purpose of supporting schools, and each other!!**
- 10. Do above using collaboration process.**
- 11. Both teach and model SDM/SIP.**

APPENDIX P

Appendix P

Behaviors Considered for Analysis as Additional Superintendent Behaviors for Supporting School-Based Change

Behaviors with Members of Board of Education:

1. Act as buffer for building teams and cheerleaders
2. Recruit citizens to run for board who have training and knowledge of school-based change
3. Retreats w/other boards to support the process and understand it
4. Model life long learning
5. Bring new board members along
6. Plan dialogue sessions to share new learning about school research on new ideas
7. Keeping the board focused on student results rather than methods too, especially when results are constantly improving
8. Model active listening
9. Keep board informed through team meeting, minutes
10. Patience
11. Create vertical teams to discuss change in general and specifically as it applies to individual growth
12. Apply process skills to emergent problems

Behaviors with School Stakeholders

1. Achieve direct communication between teachers' organization president and superintendent
2. Encourage them to apply for awards, e.g., Blue Ribbon Schools of Excellence as a 3rd party evaluation

Behaviors with School Stakeholders, cont.

3. Involve all leaders of employee groups in cabinet decisions using SDM with exception of negotiations and legal
4. Focus on student and program outcomes.
5. Must choose all different sections of stakeholders
6. Be a cheerleader
7. Encourage change efforts in the direction of student achievement
8. Agreements at the front end about data and measurements we will use to determine how we are doing
9. Be visible and passionate regarding the vision
10. Be certain to include business/non parent taxpayers on SIP team to ensure a balance w/fiscal realities
11. Redefine parameters as reality changes
12. Explain the paradox of "reform" vs. "back to basics"
13. Play an active role in district staff development programs related to SIP
14. Establish annual meeting for progress reports and goals for next year

Behaviors with Central Office Staff

1. Define their role in the vision (i.e., support vs. control)
2. Work with "blockers"
3. They must be collaborative -- or must go!
4. Model lifelong learning/active listening/problem solving skills when needed
5. Mediate effects of central office blockers